TN: DT-04-XX

To: NRC Management Directives Custodians

Subject: Transmittal of Management Directive 1.1, "NRC Management Directives System"

Purpose: Directive and Handbook 1.1 are being revised to update submittal procedures for management directives (MDs) as a result of transfer of the NRC Management Directives System from the Kodak Ektaprint Electronic Publishing System (KEEPS) to WordPerfect and to incorporate other minor editorial changes.

Office and Division of Origin: Office of Administration
Division of Administrative Services

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Date Approved: June 29, 2001 **(Revised: DRAFT 03/05/04)**

Volume: 1 Management Directives

Directive: 1.1 NRC Management Directives System

Availability: Rules and Directives Branch
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NRC Management Directives System

Directive 1.1

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NRC Management Directives System
Directive 1.1

Policy
(1.1-01)

It is the policy of the U.S. Nuclear Regulatory Commission to communicate to NRC employees the basic NRC policies, requirements, and procedures necessary for the agency to comply with Executive Orders, pertinent laws, regulations, and the circulars and directives of other Federal agencies. NRC prepares and issues directives and handbooks, as well as revisions to these documents, to meet the requirement that all Federal agencies have an internal management directives (MDs) system.

Objectives
(1.1-02)

To ensure that MDs—

- Effectively communicate policies, objectives, responsibilities, authorities, requirements, guidance, and information to NRC employees. (021)

- Properly and consistently reflect the decisions of the Commission and the Executive Director for Operations (EDO). (022)

Organizational Responsibilities and Delegations of Authority

(1.1-03)

Chairman

(031)

- Approves the creation, revision, or elimination of MDs for offices reporting directly to the Chairman. (a)
- With the concurrence of the Commission, approves the creation, revision, or elimination of all MDs that formulate significant agency policy. (b)
- Approves the creation, revision, or elimination of MDs for offices reporting directly to the Commission when the action relates to routine or administrative matters. (c)

Commission

(032)

- Approves the creation, revision, or elimination of MDs for offices reporting directly to the Commission, unless these actions are routine or administrative in nature. (a)
- Approves the creation, revision, or elimination of all MDs that formulate significant agency policy. (b)

Executive Director for Operations (EDO)

(033)

- Approves the creation, revision, or elimination of MDs for offices reporting directly to the EDO. (a)
- Approves MDs for offices reporting to the EDO involving policy matters that are consistent with previously established Commission guidance or practice and that do not require approval by the Chairman or the Commission. (b)

Organizational Responsibilities and Delegations of Authority

(1.1-03) (continued)

Executive Director for Operations (EDO)

(033) (continued)

- Grants exceptions to or approves deviations from the provisions of the NRC Management Directives System, unless the exceptions or deviations raise significant policy issues. (c)

Chief Financial Officer (CFO)

(034)

Approves the creation, revision, or elimination of MDs for his or her office if those MDs involve policy matters that are consistent with previously established Commission guidance or practice and that do not require approval by the Chairman or the Commission.

Deputy Director for Management Services (DEDM)

(035)

- Provides oversight of the NRC Management Directives System. (a)
- For offices reporting to the EDO, recommends to the EDO MDs that should be created, revised, or eliminated. (b)

Director, Office of Administration (ADM)

(036)

- Develops and administers the NRC Management Directives System, including the issuance of policies and procedures, the provision of advice and guidance, and the review of its operation and effectiveness throughout NRC. (a)

Organizational Responsibilities and Delegations of Authority

(1.1-03) (continued)

Director, Office of Administration (ADM)

(036) (continued)

- Approves for publication or revision certain MDs that incorporate requirements imposed on NRC (see Part II(D)(6) of Handbook 1.1). (b)

- Approves the elimination of MDs under the purview of ADM, as described in Part II(D)(6) of Handbook 1.1.(c)

Office Directors and Regional Administrators

(037)

- Ensure that pertinent NRC policies, requirements, procedures, and management information of continuing relevance to their program areas are incorporated into the NRC Management Directives System. (a)

- Incorporate Executive Orders, pertinent laws, regulations, circulars, and directives of other Federal agencies into NRC MDs to the extent necessary to show clearly the requirements that are placed on NRC. (b)

- Following guidance in Part II of Handbook 1.1, prepare and obtain approval of MDs necessary to carry out assigned functions, ensure the accuracy and currency of the MDs, and eliminate those that become obsolete. (c)

Director, Division of Administrative Services (DAS), ADM

(038)

- Reviews new or revised MDs submitted for issuance for their adherence to the policies and procedures contained in

Organizational Responsibilities and Delegations of Authority
(1.1-03) (continued)

Director, Division of Administrative Services (DAS), ADM
(038) (continued)

this MD, including use of the proper format and editorial standards. (a)

- Ensures that MDs receive proper review through NRC Form 521, "Request for Publication or Elimination of an NRC Management Directive" (Exhibit 2 of Handbook 1.1; available on InForms). (b)

Applicability
(1.1-04)

The policy and guidance in this directive and handbook apply to all NRC employees.

Handbook
(1.1-05)

Handbook 1.1 contains guidelines for the preparation, revision, review and approval, distribution, control, filing, use, and elimination of MDs.

Effective Date
(1.1-06)

MDs go into effect immediately upon their issuance. When a specific effective date is necessary because of a management determination or to satisfy a legal or administrative requirement, the effective date must be specified in the MD. When an MD is revised or eliminated, the approval date of the NRC Form 522, "Approval for Issuance or Elimination of an NRC Management Directive" (Exhibit 3 of Handbook 1.1), becomes the effective date.

References

(1.1-07)

Code of Federal Regulations

10 CFR Part 1, "Statement of Organization and General Information."

10 CFR Part 9, "Public Records."

General Services Administration

GSA "Directives Management: Information Resources Management Handbook," December 1986.

U.S. Nuclear Regulatory Commission Documents

NRC Memorandum to L. Joseph Callan, Executive Director for Operations, from John C. Hoyle, Secretary; Staff Requirements — COMNJD-98-003—NRC Staff Office Procedures; May 18, 1998.

NRC Organization Charts and Functional Descriptions (which can be found on the NRC internal Web site).

NUREG-0544, Revision 4, "NRC Collection of Abbreviations," July 1998.

NUREG-1379, "NRC Editorial Style Guide," October 1989.

Other Style Guides

A Manual of Style, The University of Chicago Press, Chicago, latest edition.

U.S. Government Printing Office Style Manual, 2000.

Words Into Type, Prentice-Hall, Inc., Englewood Cliffs, New Jersey, latest edition.

References

(1.1-07) (continued)

United States Code

Energy Reorganization Act of 1974, as amended (42 U.S.C. 5801 et seq.).

Freedom of Information Act (5 U.S.C. 552).

NRC Management Directives System

Handbook 1.1

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Part I
Structure of the NRC Management Directives System

Volumes (A)

The NRC Management Directives System is structured to cover broad, major NRC functions and programmatic responsibilities. As such, these functions and responsibilities may be under the purview of one or more organizational units at any particular time. Because these organizations are subject to change over time, the management directives system is divided into sequentially numbered volumes, each of which addresses a specific NRC function. These volumes are as follows: (1)

- Volume 1 Management Directives
- Volume 2 Information Technology
- Volume 3 Information Management
  - Part 1 Publications, Mail, and Information Disclosure
  - Part 2 Records Management
- Volume 4 Financial Management
- Volume 5 Governmental Relations and Public Affairs
- Volume 6 Internal Management
- Volume 7 Legal and Ethical Guidelines
- Volume 8 Licensee Oversight Programs
- Volume 9 NRC Organization and Functions

Volumes (A) (continued)

- Volume 10 Personnel Management

  Part 1 Employment and Staffing

  Part 2 Position Evaluation and Management, Pay Administration, and Leave

  Part 3 Performance Appraisals, Awards, and Training

  Part 4 Labor Relations, Discipline, Grievances, Appeals, RIFs

  Part 5 Benefits, Health Services, and Employee Safety

  Part 6 Senior Executive Service, Senior Level Positions, and Judges

  Part 7 General Personnel Management Provisions

- Volume 11 Procurement
- Volume 12 Security
- Volume 13 Transportation, Facilities, and Property
- Volume 14 Travel

When more than one binder is needed to accommodate the functional area designated for that volume, each binder will carry the volume number and identify the subcategories within the principal functional area. For example, see the entries for Volumes 3 and 10 in the preceding list. (2)

Volumes (A) (continued)

MDs in Volume 9 contain statements of organization and functions of NRC offices and regions, and are a means by which the Chairman, the Commission, and the Executive Director for Operations may assign functions and delegate authority to office directors and regional administrators. (3)

Directives (B)

Directives specify policy, objectives, responsibilities, authorities, and other requirements in specific functional areas. They are formal issuances that guide, inform, and instruct NRC employees in the performance of their jobs and communicate policies to enable employees to work effectively within the agency, with other agencies, and with the public. (1)

Directives refer to the topic-specific issuances of the broad functions covered in each volume. They are numbered consecutively (2.1, 2.2, 2.3, etc.) within each volume in the order of original issuance, and they are usually accompanied by a handbook. (2)

Directives, at the time of initial conversion, will have the former manual chapter numbers given in parentheses after the MD number for reference purposes. The former manual chapter numbers will be removed when the directive is revised and reissued. (3)

Handbooks (C)

Handbooks contain instructional material consisting of procedures, guides, standards, reporting requirements, exhibits, and identification of pertinent laws that require compliance with the policy stated in the directives. They should provide implementation guidance to employees throughout the NRC for the policy given in their associated directive. However, handbooks should not contain the extensive detail that is commonly found in specific desk procedures that apply only internally to a particular NRC organization. (1)

Handbooks (C) (continued)

Handbooks may either be attached to their associated directive or issued separately, depending on their purpose, scope, and utility. They bear the same number and title as their associated directive. In addition, handbooks may be linked electronically to a Web site, as in the case of MD 14.2, "Relocation Allowances," which uses a chapter of the Federal Travel Regulation as its handbook, or posted to the home page of the originating office, as in the case of MD 2.2, "Capital Planning and Instrument Control." This practice permits easy and frequent updating of the handbook. (2)

Revisions (D)

Revisions bear the number of the relevant directive and/or handbook. Each revision will be distributed with a transmittal sheet that contains a brief explanation of the change(s) to the MD. (1)

When an MD is eliminated, its number is reserved for future use. (See Part II(F) for further information about eliminating MDs.) (2)

Part II
Preparing Management Directives in Functional Areas for Volumes 2 Through 8 and 10 Through 14

Directives (A)

Directives in Volumes 2 through 8 and 10 through 14 set forth policy, assign major responsibilities to agency officials, and provide the lines of authority and other requirements in specific NRC functional areas, not by NRC organization. (1)

Directives must be organized into identifiable sections and subsections in accordance with the following guidelines. When necessary, other sections may be added. Each section fulfills a specific purpose related to the directive and is uniquely identified for ease of cross-referencing. In numbering the sections in the directive, the MD number precedes each section number. For example, in Directive 1.1, Section 01 appears as follows:

Policy
(1.1—01)

Subsections of Section 1.1-01 are numbered individually (011), (012) . . . (0110), (0111), and so forth. (2)

Directives are organized into the following sections: (3)

- **Policy**

  (Section 01) (a)

  This section contains a broad statement succinctly stating the agency's intent regarding the functional area covered by the directive and why it was issued. It also may indicate any portions of the functional area that the directive does not cover.

Directives (A) (continued)

- **Objectives**

  (Section 02) (b)

  This section states the goals of the functional area that affect the policy.

- **Organizational Responsibilities and Delegations of Authority**

  (Section 03) (c)

  This section contains statements— (i)

  – Reflecting delegations of authority to particular NRC officials to perform certain functions and exercise certain authorities (*a*)

  – Describing the scope of responsibility assigned to specific NRC officials to fulfill major responsibilities (*b*)

  – Describing how NRC officials exercise certain discretionary or legal authority (*c*)

  This section also contains statements regarding those individuals to whom NRC officials delegate responsibilities in a functional area. They should appear in the following descending order: (ii)

  – The authorities, if any, that the Chairman, the Commissioners, the Executive Director for Operations (EDO), or the Chief Financial Officer (CFO) reserve for themselves, including the delegation of those authorities (*a*)

  – The authorities of the office directors and the regional administrators who are affected, following, in most cases, the hierarchy as illustrated in the NRC organization charts and functional descriptions (*b*)

Directives (A) (continued)

– The authorities of appropriate division directors who are functionally concerned (*c*)

This section may not discuss responsibilities and authorities below the division level unless the proposed entry, by virtue of the responsibility or other considerations, warrants its placement in the directive. (iii)

- **Applicability**

  (Section 04) (d)

  This section states to whom the directive and the handbook apply.

- **Handbook**

  (Section 05) (e)

  This section states what the handbook contains, such as procedures, guides, and standards.

- **Other Sections**

  (Section 06)

  The following two sections are examples of optional sections that might be included in a directive, a reference section being quite common. Any other directive sections deemed necessary must be numbered sequentially and inserted before the reference section, which must appear last.

  – **Definitions**

    This section defines terms used in a special context in the directive or if their meaning would not otherwise be clear to all those who use the directive. For more than five

Directives (A) (continued)

definitions, a separate glossary should be prepared and included at the end of the handbook. (i)

– **References**

This section cites laws, regulations, Executive Orders, Commission actions, delegations of authority, other NRC MDs, directives of other Government agencies, and so forth, that impose requirements on NRC, are cross-referenced or addressed in the MD, or that otherwise pertain directly to the MD. (ii)

Handbooks (B)

Types (1)

Handbooks are either attached to their associated directive or are issued separately. Handbooks of continuing reference value that would be useful as a desktop manual may be issued separately, although they also must be located in the appropriate binder for that directive or be linked electronically to a Web site or the home page of the originating office (see Section I(C)(2) of this handbook). In either case, a handbook must be paginated and contain a table of contents independent of the directive to which it pertains.

Format (2)

The handbook must be identified by title and number with its directive, as illustrated on the cover for this handbook. Handbooks are reference documents and should be organized and formatted to assist readers in quickly locating the information they need. While it is not mandatory that all handbooks follow a prescribed format, offices are strongly encouraged to follow the format and page design of this handbook as a useful model to achieve as much consistency as possible. An office proposing or requesting an alternative format for a handbook must consult with and obtain

Handbooks (B) (continued)

Format (2) (continued)

prior approval from the Chief of the Rules and Directives Branch (RDB), Division of Administrative Services (DAS), Office of Administration (ADM). (a)

The handbook should be limited in coverage to information about its associated directive. (b)

The handbook should contain only those requirements or responsibilities that are broadly covered in its associated directive and should not be as detailed as a desk procedure. (c)

The handbook may contain useful finding aids, such as—(d)

- Visually discrete headings that accurately describe the contents of a section (i)
- The use of different typeface styles and sizes to help readers differentiate among levels of information (ii)

The handbook may contain exhibits. However, forms that have been placed on WordPerfect under the InForms icon will not be included as exhibits unless the originating office wishes to include a filled-out form as an example. The text should identify form type (e.g., Standard Form, NRC Form, or Optional Form), form number, and the title (only the first time the form is mentioned) and instruct the reader to access the form through InForms. Exhibits 1 through 4 of this handbook aid the originating office in preparing an MD for publication. (e)

Review of Management Directives (C)

The review process for a directive and/or handbook provides an opportunity for all major components of NRC to make substantive comments concerning the MD's content. A record of this review will be indicated on NRC Form 521, “Request for Publication or

Review of Management Directives (C) (continued)

Elimination of an NRC Management Directive" (Exhibit 2; available on InForms), and in the originating office's Resolution of Comments Summary. A sample Resolution of Comments Summary is available from RDB. Exhibit 4 of this handbook shows a "Generic Timeline for Publication of Management Directives" from which the originating office can estimate the publication date of its MD. (1)

The office director or the regional administrator responsible for initiating or revising a directive or a handbook shall send a draft to RDB, DAS, ADM, for review and editing. The originating office must submit the following materials to RDB so that the MD can be reviewed and processed: (2)

- For new MDs, a typed, double-spaced copy of the directive and, when appropriate, the handbook, including an up-to-date original paper copy of any exhibits not available through InForms. (a)

- A computer diskette of the text of the directive and the handbook in a WordPerfect file or an e-mail transmission of the document (b)

- If an MD is to be revised, the originating office may either mark up a hard copy of the current MD or request RDB to furnish an electronic WordPerfect file. If RDB furnishes the originating office an electronic WordPerfect file of the MD, the originating office must furnish RDB with both a redline/strikeout hard copy printed on a color printer and a redline/strikeout electronic file of the revision. (c)

After its review, RDB will prepare the MD in the new format and return it to the originating office for its review and submittal to offices and regions for their review and comment. (3)

Routinely, draft MDs are sent to all major NRC components, including the regional offices. If the MD does not require

Review of Management Directives (C) (continued)

agencywide review, it should be sent to those offices or regions to which the MD assigns responsibilities or that are actually or potentially affected by the exercise of authority granted to the office issuing the MD. (4)

As a minimum, the Office of the General Counsel (OGC) and the Office of the Inspector General (OIG) must review each new or revised MD before it is issued. The review of the MD by OIG, however, does not constitute approval of the MD in cases of later audit or investigation. Other offices also may review the MD, as deemed appropriate by the issuing organization (see Exhibit 1). (5)

A draft of a new or revised directive or handbook need not be circulated for review to offices other than OIG, OGC, and ADM when it incorporates the following kinds of information: (6)

- Federal statutes, Executive Orders, or NRC regulations (a)
- Regulations or directives of other Federal agencies to show any requirements placed on NRC (b)
- EDO, CFO, or Commission decisions for which no discretionary authority is granted (c)
- NRC reorganizational changes previously approved by the appropriate authority (d)
- Routine administrative changes (e)

The affected offices and regions have 20 working days to review and comment on draft and revised MDs, although a shorter review period may be specified for brief revisions or for MDs requiring expedited handling. The originating office may consider extending this comment period for draft MDs that are unusually lengthy or complex. (7)

Review of Management Directives (C) (continued)

The originating office will incorporate comments of reviewers to the extent feasible. When significant, unresolved differences arise between the originating offices and offices reviewing a draft MD, the originating office shall submit a summary of the disputed issues to the EDO for resolution if the dispute involves an office or offices reporting to the EDO. If a dispute involves offices reporting to the Commission, a summary of the disputed issue must be submitted to the Chairman for resolution. (8)

After obtaining the necessary reviews and comments, the originating office must submit to RDB a marked copy of the MD that reflects editorial and substantive comments. The originating office also must submit a completed NRC Form 521 (Exhibit 2), which provides the following information: (9)

- Originating division and office (a)
- Title and number of the MD (b)
- Basic authority for issuance or elimination (c)
- Type of issuance (d)
- Summary of the purpose and significance of the MD in 200 or fewer words (e)
- Attached summary of comments received and how the comments were resolved, except those comments that relate to editorial or format concerns (f)
- Recommended distribution, including numbers of copies for the originator and any other person specified, as well as mailing labels if applicable (g)
- List of offices to which the MD was sent for review (h)
- Staff contact for the MD (i)

Review of Management Directives (C) (continued)

- Signature of the office director recommending issuance or elimination of the MD (j)
- For directives and/or handbooks in Volume 9 of the NRC Management Directives System, the signatures of both the director of the affected office and the Director of the Office of Human Resources (k)

Approval of Management Directives (D)

The approval process for an MD has been kept to a minimum because of the extensive review process that occurs before the director of the originating office submits the MD for approval (see Exhibit 2). During the approval process, only a significant legal or policy issue should cause a change to the MD. If such a change is necessary, the MD will be returned to the staff contact of the originating office.

Director, Division of Administrative Services (DAS), Office of Administration (ADM) (1)

The Director will review the proposed new or revised MD to ensure that it adheres to applicable policies and procedures, including the proper format and editorial standards. (a)

The following actions also must be accomplished: (b)

- Process the material and obtain the originating office's approval. (i)
- Submit a copy of NRC Form 522, "Approval for Issuance or Elimination of an NRC Management Directive" (Exhibit 3) and the processed copy of the MD to the appropriate approving officials. (ii)

Approval of Management Directives (D) (continued)

Chairman (2)

When the MD reflects a delegation of authority to an office reporting directly to the Chairman, such as the Office of the Inspector General, the Office of the Chief Financial Officer (CFO), the Office of Public Affairs, and the Office of Congressional Affairs, or an office reporting to the Commission, the Chairman shall approve the MD.

Commission (3)

When the MD reflects a significant delegation of authority to an office reporting to the Commission, or the MD raises significant policy issues, the Commission shall review the MD before it is submitted to the Chairman for approval.

Executive Director for Operations (EDO) (4)

The EDO shall approve all MDs except those specifically designated for approval by the Chairman, the CFO, or the Director of ADM.

Chief Financial Officer (5)

The CFO may approve the creation, revision, or elimination of MDs for his or her office if those MDs involve policy matters that are consistent with previously established Commission guidance or practice and that do not require approval by the Chairman or the Commission.

Office of Administration (ADM) (6)

The Director of ADM may approve an MD for publication when it incorporates requirements imposed on the NRC by the following:

- Federal statutes, Executive Orders, or NRC regulations (a)

Approval of Management Directives (D) (continued)

Office of Administration (ADM) (6) (continued)

- Regulations or directives of other Federal agencies to show any requirements placed on the NRC (b)
- EDO or Commission decisions for which no significant discretionary authority is granted with regard to implementation (c)
- NRC reorganizational changes previously approved by the appropriate authority (d)
- Routine administrative changes (e)
- Under limited circumstances, a specific part of an MD (such as the pay chart exhibits of MD 10.43, "Pay Administration," which change periodically) (f)

Publication and Distribution of Management Directives (E)

At the time the EDO signs the NRC Form 522 approving an MD for publication, the EDO also will provide to the Commission for its information a copy of any MD that contains policies or procedures that may affect the workings of the Commission. The memorandum that the EDO signs transmitting the MD to the Commission will be prepared by the Chief of RDB and will be included with any applicable MD when it is submitted to the EDO for issuance. (1)

The Chief of RDB will submit MDs approved for publication to printing. (2)

The transmittal memorandum indicates the purpose of the issuance, the staff member to contact, and directions for retrieving a copy of the MD. (3)

Publication and Distribution of Management Directives (E) (continued)

All MDs will be distributed to custodians designated by each office to maintain a complete, current set of MDs. Other copies will be distributed as recommended by the originating office and approved by the Chief of RDB. (4)

Elimination of Management Directives (F)

MDs may be eliminated by the originating office through submission of an NRC Form 521 and a copy of the MD to be eliminated. As stated on NRC Form 521, OIG and OGC must review any proposal to eliminate an MD. Upon receipt of this package, RDB/DAS will fill out and submit an NRC Form 522 to the Chairman or the EDO, as appropriate. When the NRC Form 522 has been approved, RDB will notify affected NRC recipients and system custodians through the Management Directives System Monthly Update that the MD has been eliminated. RDB will remove the title of the eliminated MD from the system and place "Reserved" beside its number for future use.

Writing Guidelines (G)

Techniques (1)

Construct simple declarative sentences in the active voice as this sentence structure is the easiest to understand. Use action verbs in the present tense. Choose words carefully and ensure that they are familiar, concise, and used consistently. (a)

Terminology within an MD must be uniform so that users may readily understand the subject. Terms defined in the MD must be used consistently throughout the MD in which they are defined. (b)

Writing Guidelines (G) (continued)

Techniques (1) (continued)

When in doubt, the author should consult the technical editor in RDB/DAS/ADM. Otherwise, following some simple guidelines should aid the author in creating or revising an MD. (c)

Editorial Standards (2)

The standards for punctuation, abbreviations, spelling, capitalization, and so forth, that govern the preferred style for MDs are contained in the *U.S. Government Printing Office Style Manual*, the "NRC Editorial Style Guide" (NUREG-1379), and the "NRC Collection of Abbreviations" (NUREG-0544, Rev. 4). There are, of course, many other sources of good writing, such as the University of Chicago's *A Manual of Style* and the Prentice-Hall Third Edition of *Words Into Type*, that may also provide guidance.

Part III
Preparing Management Directives on NRC Organization and Functions in Volume 9

MDs on organization and functions issued in Volume 9 of the NRC Management Directives System are a means by which the Chairman, the Commission, and the Executive Director for Operations establish offices, divisions, and regional offices; assign functions; and delegate authority to the head of each organization in accordance with 10 CFR Part 1, "Statement of Organization and General Information."

Part IV
Maintenance and Use of the NRC Management Directives System

Availability for Reference (A)

NRC Employees (1)

The NRC Management Directives System reflects NRC internal policy and overall instructions to the NRC staff. Thus, NRC offices and regions will maintain complete sets of MDs. Other organizational components that have a need to refer to MDs may maintain appropriate portions of the NRC Management Directives System. The Rules and Directives Branch (RDB), Division of Administrative Services (DAS), Office of Administration (ADM), maintains a permanent, up-to-date file of all MDs issued and revised. MDs are also available from RDB on CD-ROM and on the NRC internal Web site.

The Public (2)

The NRC Management Directives System is available to the public on the Agencywide Documents Access and Management System (ADAMS), on CD-ROM, and in the Commission's Public Document Room in accordance with 10 CFR Parts 1 and 9. These regulations implement the Freedom of Information Act (5 U.S.C. 552).

System Custodians (B)

Office directors and regional administrators will designate system custodians to ensure that complete sets of MDs are accurately maintained. RDB must be notified of any reassignment or change in the status of system custodian within 2 weeks after reassignment. This step is necessary to keep the records of custodians current.

Filing (C)

The NRC Management Directives System is issued in looseleaf form to facilitate additions and revisions. System custodians must file new MDs and revisions when the material is received so that users always have access to up-to-date information. (1)

MDs must be filed in official binders according to the volume, part, and individual MD number. Superseded or eliminated material must be removed and discarded. (2)

Also, to maintain system integrity, RDB periodically reviews each official set of MDs to determine if it is up to date and to provide refresher training. RDB provides each system custodian with any missing or needed material. (3)

Provision of Binders (D)

DAS/ADM will maintain a stock of binders for the system at the NRC warehouse. These binders are to be used only for NRC MDs. Access to the binders is strictly limited to the appointed system custodians and a small number of NRC employees whose official duties require their access to either full or partial sets. Any request for access to the binders must be addressed to the Chief of RDB and must provide a justification for access to the binders.

Notification of System Changes (E)

To maintain system integrity, RDB issues to system custodians the Management Directives System Monthly Update (MD/MU) that lists all MD changes during that month. This MD/MU must be filed in Volume 1 of the Management Directives as a permanent record.

Part V
Distribution and Stocking

Method of Distribution (A)

The Division of Administrative Services (DAS), Office of Administration (ADM), distributes MDs to all system custodians maintaining complete sets or portions of the system, including the Public Document Room, the NRC Technical Training Center, and regional offices. (1)

Headquarters offices and regional offices may distribute MDs of interest to their employees within their organizational units. (2)

At any time an employee may request a copy of a directive and/or a handbook by contacting the Rules and Directives Branch, DAS, ADM. (3)

Establishment of Distribution Pattern (B)

Usually, MDs are sent to system custodians and any special distribution recommended by the staff contact.

Exhibit 1
Management Directive Review and Approval Process

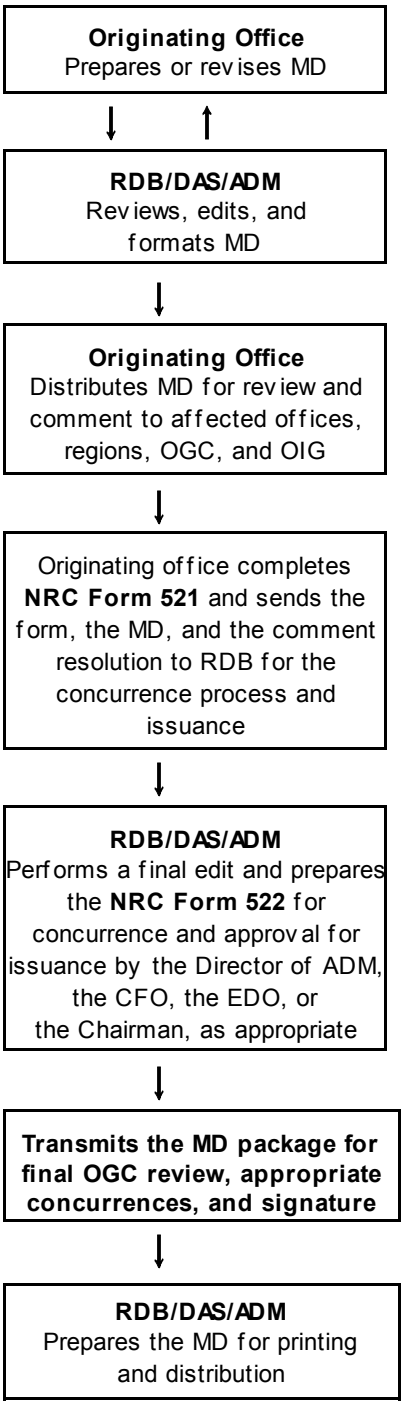

Exhibit 2

NRC Form 521, "Request for Publication or Elimination of an NRC Management Directive"

NRC FORM 521 | U.S. NUCLEAR REGULATORY COMMISSION

REQUEST FOR PUBLICATION OR ELIMINATION OF AN NRC MANAGEMENT DIRECTIVE

TO:	FROM: (Office and Division or Region)
Division of Administrative Services, ADM	ADM/DAS/RDB

IDENTIFICATION OF DIRECTIVE

NUMBER AND TITLE	FORMS NUMBER(S)
Management Directive 1.1, "NRC Management Directives System"	

REPLACES Manual Chapter/MC or Appendix
☐ YES [illegible] ☑ NO

[illegible]
Management Directive 1.1, "NRC Management Directives System"

TYPE OF ISSUANCE		TYPE OF ACTION	
☑ Directive	☐ Manual Chapter	☐ New	☐ Elimination
☑ Handbook	☐ Appendix	☑ Revision	

PURPOSE (Describe in 200 or fewer words) (If eliminating a management directive, provide justification)
[illegible]

Directive and Handbook 1.1 are being revised to update submittal procedures for management directives (MDs) as a result of transfer of the NRC Management Directives System from the Kodak Ektaprint Electronic Publishing System (KEEPS) to WordPerfect and to incorporate other minor editorial changes.

☐ Check here if a summary of comments is attached

☐ Check here if this directive/handbook qualifies for approval by the Director, Office of Administration, pursuant to Handbook 1.1.

Request Distribution (MUST indicate in Chart)
- ☑ Custodians of complete sets
- ☐ Branch Chiefs and Above
- ☐ Division Directors and Above
- ☐ Assistant Directors and Above
- ☐ All Employees
- ☐ Other (Please specify and provide labels)

Check offices to which directive/handbook was sent for comment

☐ ACNW	☐ OCA	☐ OIP
☐ ACRS	☐ OCAA	☐ OPA
☐ ADM	☐ OCFO	☐ RES
☐ ASLBP	☐ OCIO	☐ RI - RIV
☐ EDO	☐ OCM	☐ Region ___ ONLY
☐ IR	☐ OE	☐ SBCR
☐ NMSS	☑ OGC*	☐ SECY
☐ NRR	☐ OI	☐ STP
☐ NSIR	☑ OIG*	☐

*OGC and OIG must review each management directive before the Office Director signs.

STAFF CONTACT	MAIL STOP	TELEPHONE

SIGNATURE: OFFICE DIRECTOR OR REGIONAL ADMINISTRATOR

NAME	TITLE
	Director, Office of Administration
SIGNATURE	DATE

NRC FORM 521 [illegible] | PRINTED ON RECYCLED PAPER | [illegible]

Exhibit 3

NRC Form 522, "Approval for Issuance or Elimination of an NRC Management Directive"

NRC FORM 522 U.S. NUCLEAR REGULATORY COMMISSION

APPROVAL FOR ISSUANCE OR ELIMINATION OF AN NRC MANAGEMENT DIRECTIVE

A. DESCRIPTION OF DIRECTIVE/HANDBOOK

1. NUMBER AND TITLE

Management Directive 1.1, "NRC Management Directives System"

2. BASIC AUTHORITY FOR ISSUANCE OR ELIMINATION [illegible]

Management Directive 1.1, "NRC Management Directives System"

3. TYPE OF ISSUANCE: [X] Directive [ ] Manual Chapter [X] Handbook [ ] Appendix

4. TYPE OF ACTION: [ ] New [ ] Elimination [X] Revision

B. AUTHORIZATION FOR ISSUANCE

5. OFFICIAL AUTHORIZING ISSUANCE

NAME	TITLE
	Executive Director for Operations
SIGNATURE	DATE

C. PURPOSE [illegible]

Directive and Handbook 1.1 are being revised to update submittal procedures for management directives (MDs) as a result of transfer of the NRC Management Directives System from the Kodak Ektaprint Electronic Publishing System (KEEPS) to WordPerfect and to incorporate other minor editorial changes.

D. TECHNICAL EDITING

NAME OF EDITOR	DATE COMPLETED	TELEPHONE NUMBER

E. CONCURRENCES FOR ISSUANCE

OFFICE	[illegible]	[illegible]	[illegible]	OGC	[illegible]	EDO	
NAME							
DATE	/ /	/ /	/ /	/ /	/ /	/ /	

Exhibit 4
Generic Timeline for Publication of Management Directives

A number of factors must be considered in determining the length of time necessary for the Rules and Directives Branch (RDB), Division of Administrative Services, Office of Administration, to edit, format, and process an individual directive. These factors include—

- The size of the directive
- Whether the action is a manual chapter conversion, a new directive, or a revised directive
- The scope and complexity of the desired changes
- Whether the directive has been converted from KEEPs (Kodak Ektaprint Electronic Publishing System) to WordPerfect
- RDB's current directives workload

We have attempted to account for these factors in creating the generic timeline. We have established a gradient based on directive size because that is the most tangible factor for client offices.

The clock starts when the complete manuscript for the directive and handbook and any exhibits are submitted to RDB for processing. Additional changes submitted after the original manuscript is submitted restart the clock.

Initial editing and formatting by RDB

MD of 25 pages or less	Two weeks
MD of 25 to 50 pages	Three weeks
MD of more than 50 pages	Add one week for every 25 pages
Office comment period	Six weeks (Although MD 1.1 provides that affected parties be given 20 working days at a minimum for comment, we have found that 30 working days is a more practical comment period.)
Office resolution of comments	Two to four weeks, depending on issues raised

Exhibit 4 (continued)

RDB incorporation of comments and changes	Two to four weeks, depending on complexity
Office review and creation of concurrence package	Two weeks
Concurrence process (RDB)	Two to six weeks, depending on issuing authority
Printing (OCIO)	One to two weeks
Distribution (OCIO and RDB)	One week