U.S. NUCLEAR REGULATORY COMMISSION MANAGEMENT DIRECTIVE (MD)

MD 1.1	NRC MANAGEMENT DIRECTIVES SYSTEM	DT-17-100
Volume 1:	Management Directives	
Approved By:	Cynthia A. Carpenter, Director Office of Administration	
Date Approved:	March 25, 2016	
Cert. Date:	N/A, for the latest version of any NRC directive or handbook, see the online MD Catalog.	
Issuing Office:	Office of Administration Division of Administrative Services	
Contact Name:	Cindy K. Bladey 301-415-3280	

EXECUTIVE SUMMARY

Directive and Handbook 1.1 are being revised to—

- Incorporate recommendations from OIG 14-A-19, "Audit of NRC's Process for Revising Management Directives," to (1) elevate authority required for approving extensions; (2) set guidelines for resetting the due date for a management directive (MD), including the parameters and guidelines for granting extensions; and (3) include a requirement for author participation in an MD kickoff meeting.
- Incorporate the delegation of authority from the Executive Director for Operations to the Chief Human Capital Officer for MDs within Volume 10, Parts 1 through 4, and Part 5, Subpart B.
- Reaffirm the requirement to allow 20 business days for office review and comment.
- Include the Congressional Review Act determination as part of the signature package.

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I. POLICY

A. Management Directives Provide the Process and Guidance for Implementing Existing Policy

Management directives (MDs) do not propose new policy. Instead, MDs reflect policy decisions already made in some other context and provide the process and guidance for implementing that policy. For example, MDs can reflect enacted legislation, issued Executive Orders, Governmentwide personnel and travel policy, Commission decisions articulated in staff requirements memoranda, and other issuances.

B. Communicating Policy to NRC Employees

It is the policy of the U.S. Nuclear Regulatory Commission to communicate to employees 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.

C. Directives and Handbooks Meet Federal Requirement

NRC prepares and issues directives and directive handbooks, as well as revisions to these documents, to meet the requirement that all Federal agencies have an internal MD system.

II. OBJECTIVES

Ensure that directives and directive handbooks published in the NRC Management Directives (MD) system—

- Meet the system threshold criteria defined in the handbook to this directive.
- Effectively communicate agency policies, objectives, responsibilities, authorities, requirements, guidance, and related information to NRC employees.
- Properly and consistently reflect the decisions of the Chairman, the Commission, the Executive Director for Operations (EDO), the Chief Financial Officer (CFO), the Chief Human Capital Officer (CHCO), and office directors and regional administrators.
- Are properly reviewed and approved for issuance by appropriately authorized agency officials as well as properly maintained on the agency's internal Web site in order to make the system most useful to staff.

III. ORGANIZATIONAL RESPONSIBILITIES AND DELEGATIONS OF AUTHORITY

A. Chairman

1. Approves any new or revised directive or handbook that affects Chairman or Commission authorities and responsibilities.
2. Approves any request to eliminate a directive or handbook issued by an office reporting to the Chairman or the Commission.
3. At his or her discretion reviews and approves a directive or handbook that—
   (a) Reflects the implementation of major policy issues related to the agency's mission and strategic objective.
   (b) Affects the rights of a member of the public.

B. Commission

1. Approves policy or significant policy changes, outside of the MD system, for implementation in a subsequent, new or revised directive or handbook.
2. Reserves the right to review the implementation of its policy as advanced in any new or revised directive or handbook if so interested during the course of the Chairman's review.

C. Executive Director for Operations (EDO)

1. For offices reporting to the EDO, approves the issuance of new or revised directives and handbooks that reflect approved policy issues—
   (a) Affecting the EDO's authorities and responsibilities
   (b) Reflecting Chairman and Commission decisions that have major implications in terms of agency operations.

2. Approves any request to eliminate a directive or handbook issued by an office reporting to the EDO.
3. Approves for MDs issued by all offices except the Office of the Chief Financial Officer—
   (a) Modifications to the terms of the MD 5-Year Plan.
   (b) Requests to extend the revision or certification deadline of an MD.
4. May delegate the responsibilities and authorities delineated in this section, as appropriate.

D. Chief Financial Officer (CFO)

1. Approves the issuance of new or revised directives and handbooks—
   (a) Affecting CFO authorities and responsibilities.
   (b) Reflecting agency budget and financial policy, procedures, and operations that are consistent with previously established Chairman and Commission decisions.
2. Approves for MDs issued by the CFO—
   (a) Modifications to the terms of the MD 5-Year Plan.
   (b) Requests to extend the revision or certification deadline of an MD.

E. Chief Human Capital Officer (CHCO)

1. Approves the issuance of new or revised directives and handbooks within Volume 10, Parts 1 through 4, and Part 5 Subpart B —
   (a) Affecting human capital authorities and responsibilities.
   (b) Reflecting agency human resource policy, procedures, and operations that are consistent with any previously established Chairman and Commission decisions.
2. Approves extensions to the revision or certification deadline for MDs issued by the Office of the Chief Human Capital Officer (OCHCO). The EDO will be notified before the approval of any extensions.
3. Ensures that OCHCO directives and handbooks receive proper review and determines when they are ready for issuance, with advice from the Office of Administration (ADM).
4. Approves elimination of MDs in Volume 10, Parts 1 through 4, and Part 5 Subpart B, unless the elimination would represent a significant change in previously established Chairman or Commission decisions. Notifies the EDO before the approval of any elimination.

F. Office Directors and Regional Administrators

1. Approve the issuance of new or revised directives and handbooks involving the implementation of established policy, procedures, and operations in their functional areas, except as otherwise indicated in this directive.

2. Ensure that pertinent NRC policies, requirements, procedures, and management information of continuing relevance to their program areas are incorporated into the MD system.
3. Incorporate Executive Orders, pertinent laws, regulations, circulars, and directives of other Federal agencies into NRC directives and handbooks to the extent necessary to show clearly the requirements that are placed on NRC.
4. According to the procedures in the handbook to this directive—
   (a) Prepare and obtain approval of directives and handbooks necessary to carry out assigned functions.
   (b) Ensure the accuracy and currency of information in the MD system.
5. Identify obsolete and redundant directives and handbooks for elimination or consolidation.

G. Director, Office of Administration (ADM)

1. Provides oversight for and develops and administers the MD system, including the issuance of approved policies and procedures, the provision of advice and guidance, and the review of its operation and effectiveness.
2. For offices reporting to the EDO, recommends to the EDO directives and handbooks that should be created, revised, consolidated, or eliminated.
3. Ensures that directives and handbooks receive proper review and approval according to the procedures in this directive and its associated handbook.
4. May delegate the responsibilities and authorities delineated in this section, as appropriate.

H. Director, Division of Administrative Services, Office of Administration

1. Ensures that directives and handbooks receive proper review and approval according to the procedures in this directive and its associated handbook.
2. May delegate the responsibilities and authorities delineated in this section, as appropriate.

I. Chief, Rules, Announcements, and Directives Branch, Division of Administrative Services, Office of Administration

1. Approves the following revisions to existing directives and handbooks—
   (a) Routine and administrative revisions such as—
      (i) Updating the annual pay charts that are enclosures to MD 10.41, “Pay Administration.”
      (ii) Updating the reference to an external handbook or exhibit, including “Political Activity and the Federal Employee,” which serves as the handbook for MD 7.10, “Political Activity.”

(b) Corrections and conforming changes such as—

(i) Changing the names of branches, divisions, and offices when reorganizations occur.

(ii) Correcting obvious errors or inadvertent omissions such as incorrect cross references.

2. Publishes new and revised directives and handbooks to the online MD catalog.

3. Notifies NRC employees via e-mail when a new or revised directive or handbook is published to the online MD catalog.

IV. APPLICABILITY

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

V. DIRECTIVE HANDBOOK

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

VI. REFERENCES

Code of Federal Regulations

10 CFR Part 9, "Public Records":
http://www.nrc.gov/reading-rm/doc-collections/cfr/part009/.

10 CFR Part 1, "Statement of Organization and General Information":
http://www.nrc.gov/reading-rm/doc-collections/cfr/part001/.

Nuclear Regulatory Commission Documents

Internal Commission Procedures Public Web Site:
http://www.nrc.gov/about-nrc/policy-making/internal.html.

NRC Management Directives Internal Web Site:
http://www.internal.nrc.gov/ADM/DAS/cag/mandirs/index.html.

NRC Management Directives Flow Charts: "Core Review," "Review by EDO and Chairman," and "Review by CFO":
http://nrcweb.nrc.gov:8600/policy/directives/1.1/flowcharts_core_and_phase_2_reviews_20150708.pdf.

NRC Memorandum to Miriam L. Cohen, Chief Human Capital Officer, from Mark A. Satorius, Executive Director for Operations, "Delegation of Authority to Issue Management Directives in Volume 10, Parts 1 through 4, and Part 5 Subpart B," May 22, 2015 (ML15110A403).

NRC Memorandum to Office Directors and Regional Administrators from Darren B. Ash, Deputy Executive Director for Corporate Management, "Improvements to the Management Directive and Yellow Announcement Process," April 3, 2015 (ML15043A789).

NRC Organization Charts and Functional Descriptions: http://www.nrc.gov/about-nrc/organization.html.

NUREG-1379, Rev. 2, "NRC Editorial Style Guide": http://www.internal.nrc.gov/NRC/NUREGS/NUREG1379/R2.

OIG 14-A-19, "Audit of NRC's Process for Revising Management Directives" (ML14258A612).

OEDO Procedure 0370, Rev. 1, "Setting Due Dates for OEDO-Controlled Action Items and Requesting Extensions and Transfers," when requesting an extension or resetting an MD due date (ML083020494).

Final Report of the MD Working Group: Program Review Findings and Recommendations, July 2006 (ML061990096).

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.

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).

U.S. NUCLEAR REGULATORY COMMISSION DIRECTIVE HANDBOOK (DH)

DH 1.1	NRC MANAGEMENT DIRECTIVES SYSTEM	DT-17-100
Volume 1:	Management Directives	
Approved By:	Cynthia A. Carpenter, Director Office of Administration	
Date Approved:	March 25, 2016	
Expiration Date:	March 25, 2021	
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- Incorporate recommendations from OIG 14-A-19, "Audit of NRC's Process for Revising Management Directives," to (1) elevate authority required for approving extensions; (2) set guidelines for resetting the due date for a management directive (MD), including the parameters and guidelines for granting extensions; and (3) include a requirement for author participation in an MD kickoff meeting.
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TABLE OF CONTENTS

I. SYSTEM CONTENT AND STRUCTURE

A. Threshold Criteria for Creation of Management Directives

1. Directives and directive handbooks are issued to promulgate internal policy and procedures of agencywide interest or application that—

   (a) Concern a high-profile, mission-critical agency function or program meriting agency-level attention or review.

   (b) Impose substantive requirements on more than one NRC office.

2. Internal procedures related to management and program issues or functions concerning a limited number of offices or staff should be addressed through interoffice agreements or other jointly issued documents that effect the necessary coordination.

3. Administrative procedures of limited scope should be communicated to staff via procedural manuals, desk procedures, Web guidance, or similar issuances.

B. Threshold Criteria for Elimination of Management Directives

Directives and their respective handbooks should be eliminated when they no longer serve the purposes described in Section I.A, “Threshold Criteria for Creation of MDs,” of this handbook.

1. The directive and/or handbook should be eliminated when the internal policies and procedures it contains are—

   (a) Obsolete,

   (b) Unnecessary, or

   (c) Contrary or inconsistent with current law.

2. Directives and handbooks should be consolidated whenever possible.

C. System Structure

1. The NRC Management Directives (MD) system contains a broad range of policy issuances covering major NRC functions and programmatic responsibilities. The major agency functions and responsibilities addressed in MD system documents may be under the purview of one or more organizational units at any particular time. Because the NRC organizations charged with responsibility in these areas are subject to change over time, the MD system is divided into sequentially numbered

volumes addressing broad functional areas related to the agency's mission and standard operations.

2. The volumes in the MD system are listed in the table below.

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TABLE 1 – MD System Volumes		
Vol.	Part	Functional Area
1		Management Directives *
2		Information Technology
3		Information Management
	1	Publications, Mail, and Information Disclosure
	2	Records Management
4		Financial Management
5		Governmental Relations and Public Affairs
6		Internal Management
7		Legal and Ethical Guidelines
8		Licensee Oversight Programs
9		NRC Organization and Functions *
10		Personnel Management
	1	Employment and Staffing
	2	Position Evaluation and Management, Pay Administration, and Leave
	3	Performance Appraisals, Awards, and Training
	4	Labor Relations, Discipline, Grievances, Appeals, RIFs
	5	Benefits, Health Services, and Employee Safety
	6	Senior Executive Service, Senior Level Positions, and Judges
	7	General Personnel Management Provisions
11		Procurement
12		Security
13		Transportation, Facilities, and Property
14		Travel

Volumes 1 and 9, marked with asterisks (*) in the table above, contain special material:

- Volume 1 states the governing policy and procedures for the MD system.
- Directives in Volume 9 describe the organization and functions of NRC offices and regions and are a means by which the Chairman, the Commission, the Executive Director for Operations (EDO), the Chief Financial Officer (CFO), and other organizational heads may assign functions and delegate authority.

II. ORGANIZATION AND FORMAT OF DOCUMENTS

A. Management Directives

1. MDs 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.
2. MDs must be organized into identifiable sections and subsections. Sections listed in Sections II.A.3(a)–(e) below are included in every directive. Sections listed in Section II.A.3(f) below are optional and may be added as necessary.
3. Directives are organized into the following sections:

   (a) Policy

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

   (b) Objectives

   This section states the agency goals that shape the policy in the functional area covered by the directive.

   (c) Organizational Responsibilities and Delegations of Authority

   This section sets out organizational responsibilities and delegations of authority specific to the functional area covered by the directive. This section is reserved for responsibilities and authorities at or above the division level. This section should not restate general responsibilities or authorities that attach to organizations and officials by virtue of their place in the agency's overall structure.

   (i) Responsibilities and authorities that span all functional areas are set forth in office-specific directives in Volume 9, "NRC Organization and Functions." This section contains statements—

   - Reflecting delegations of authority to particular NRC officials to perform certain functions and exercise certain authorities,
   - Describing the scope of responsibility assigned to specific NRC officials to fulfill major responsibilities, and
   - Describing the appropriate exercise of delegated authority.

   (ii) Delegations of authority in a functional area should appear in the following descending order:

   - The authorities, if any, that the Chairman, the Commissioners, the Executive Director for Operations (EDO), the General Counsel (GC), the Inspector General (IG), or the Chief Financial Officer (CFO) reserve for themselves, including the delegation of their authorities
   - The authorities of the office directors (ODs) and the regional administrators who are affected, following, in most cases, the hierarchy as illustrated in the NRC organization charts and functional descriptions

- The authorities of appropriate division directors or designees who are functionally concerned.

(d) Applicability

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

(e) Directive Handbook

This section states whether the directive has a corresponding handbook and what the handbook contains, such as procedures, guides, and standards. This section should also state any relevant Web guidance or supplementary procedures manual published outside the MD system. Externally authored manuals may be appropriate to serve as an MD handbook and can be incorporated by reference.

(f) Optional Sections

Additional sections may be added to the directive as needed to capture the essential elements of agency policy. Below are two examples of optional sections that might be included in a directive. Any other directive sections considered necessary must be numbered sequentially and inserted before the Reference section, which must appear last.

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

(ii) Exceptions or Deviations

This section identifies the authority to grant exceptions to or deviations from this directive and handbook; this section also describes the limits of that authority.

(g) 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.

B. Directive Handbooks

Handbooks are issued to facilitate employee compliance with agency policy as stated in the controlling directive. Handbooks are subject to MD system controls established in MD 1.1.

1. Scope and Content

(a) A handbook includes broad coverage of agency policy, authorities, and organizational responsibilities that are addressed within its controlling directive.

(b) A handbook addresses high-level procedures that orient employees to agency practice and operations.

(c) A handbook should not include excessive administrative procedures or reiterate statutory requirements or official guidance published by another Federal agency.

2. Availability

(a) Handbooks are available on the MD Web site.

(b) The controlling directive will provide an electronic link to a Web-accessible version of the handbook.

3. Organization and Format

(a) Each handbook published within the MD system must be identified by title and number with its directive, as illustrated on the first page of the handbook.

(b) To ensure the proper format and page design, offices are encouraged to view the handbook format and layout that are available on the MD Web site. If an office wishes to request an alternative format for a handbook, it must obtain approval beforehand from the Chief, Rules, Announcements, and Directives Branch (RADB), Division of Administrative Services (DAS), Office of Administration (ADM).

(c) Finding Aids

The handbook should incorporate features that facilitate browsing and rapid reference, including—

(i) Visually discrete headings that accurately describe the contents of a section, and

(ii) Internal and external hyperlinks.

(d) Exhibits

The handbook may contain exhibits—sample documents, illustrations, tables, charts, and the like—that facilitate employee compliance with stated procedures. Exhibits published in handbooks should not include items or information subject to frequent change. Material of this nature may be referenced in the handbook but should be published separately as Web guidance to facilitate frequent updating.

(e) NRC Forms

Program-related forms that are readily accessible via the agency's online forms icon are clearly referenced but will not normally be included as exhibits. However, the originating office may include a facsimile of a completed form as an example for users to follow. The text of this category of exhibit should identify the 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 on how to access the form.

(f) Footnotes

The use of footnotes and endnotes is discouraged.

C. Procedural Manuals and Web Guidance

1. Scope and Content

   (a) Detailed administrative procedures that are subject to change should be included in procedural manuals and online guidance.

   (b) Procedural manuals and online guidance may contain exhibits as well as links to the agency's online forms.

2. Availability

   Procedural manuals and Web guidance that are available on the NRC Web site will be linked to the controlling directive.

III. WRITING MDS

Below is a summary of the specific formats and content rules that the agency has approved for MDs. Additional guidance is available on the MD Web site. The threshold criteria for the creation of an MD are discussed in Section I, "System Content and Structure," of this handbook. The required and optional sections of an MD are discussed in Section II.A, "Management Directives," of this handbook.

A. Format

1. MDs should be written in plain language. For details, see NUREG-1379, Rev. 2 "NRC Editorial Style Guide."
2. MDs must be formatted in Microsoft Word. To ensure the proper format and page design, offices must use the formatting template and numbering guidance found on the MD Web site.

B. Content

The following are general content rules for MDs:

1. Limit detail to the minimum required to orient employees and stakeholders to the program or process being discussed.
2. Do not repeat established roles and responsibilities.
3. Do not recapitulate material that is published elsewhere in NRC or external guidance; link to the source document instead.
4. Remove detailed administrative procedures, forms, and exhibits, and the like, from MDs. Make this material available in a procedural manual or as online guidance.
5. Ensure that the directive clearly references any handbook, procedural manual, or online guidance.

C. Quality Assurance

The individual(s) assigned the responsibility for producing an MD should be those best able to assure effective execution of any portion of the program. Each revision of an MD should be a quality improvement process.

IV. APPROVAL AUTHORITY

Section III, "Organizational Responsibilities and Delegations of Authority," of the directive, briefly lists the organizational responsibilities and delegations of authority contained within the directive. This section contains additional information regarding the approval levels required to create, revise, or eliminate a directive.

A. Criteria for Determining Approval Level

The level of agency approval required to create, revise, or eliminate a directive or handbook is determined by the nature and substance of the proposed action.

B. Hierarchy of Authority

Section III of the directive lists agency officials who are authorized to create, revise, or eliminate a directive or handbook.

1. Any action that qualifies in any respect for approval by a higher-ranking agency official may not be approved by a lower-ranking official.
2. Any action that qualifies for approval by a lower-ranking agency official may be approved by a higher-ranking agency official in that official's chain of authority.

V. STANDARD REVIEW, SIGNATURE AND PUBLICATION PROCESS

The following process applies to all MDs and is therefore referred to as "Core Review." See the accompanying flow chart for Core Review for an illustration of the procedures.

A. Core Review Process

1. The primary contact person in the originating office contacts RADB/DAS/ADM (hereinafter "RADB"), which manages the review and publication process, and attends the required kickoff meeting.

   (a) The originating office sends a draft of the MD to RADB, pursuant to provisions in MD 1.1. If an existing MD is being revised, the proposed changes should be clearly marked on the most recently published version of the MD.

   (b) If the originating office determines that the MD may be issued under the authority delegated to it in Section III.F, "Office Directors and Regional Administrators," of this directive, then the originating office must notify RADB. The originating office must also indicate its intentions to issue the MD under its delegated authority when requesting comment from the Office of the General Counsel (OGC), the Office of the Inspector General (OIG), and other reviewing offices.

2. RADB makes any necessary editorial and formatting changes and returns the MD to the originating office for review and approval.
3. After approving the draft MD, the originating office forwards the draft MD to OGC, OIG, and any other necessary reviewing office.
   (a) OGC, OIG, and any other reviewing offices provide comment on the document.
   (b) Review by OGC and OIG is required for every MD. (In some instances, additional review by the EDO, OGC, and OIG may be prudent. It is incumbent upon the originating office to determine whether additional review is necessary. RADB may recommend additional review on a case-by-case basis.)
   (c) The reviewing offices and regions have 20 working days to review and comment on draft and revised directives, although a shorter review period may be specified for brief revisions or for directives requiring expedited handling. The originating office should extend the comment period for draft directives that are unusually lengthy or complex.
4. OGC, OIG, and other reviewing offices return their comments on the draft document to the originating office.
5. The originating office reviews comments from OGC, OIG, and the other reviewing offices and creates a comment resolution document.
6. The originating office submits to RADB—
   (a) A final draft of the MD that incorporates accepted comments,
   (b) A comment resolution document, and
   (c) A completed and signed NRC Form 521, “Request for Publication or Elimination of an NRC Management Directive.”
7. RADB Review
   (a) RADB reviews the comment resolution document and verifies that all comments have been addressed or incorporated into the MD.
   (b) RADB determines the level of approval required for the MD and creates the signature package. The signature package includes the NRC Form 522, “Approval for Issuance or Elimination of an NRC Management Directive.”
      (i) If the MD is to be approved by the Chairman, the EDO, the CFO, or the Chief Human Capital Officer (CHCO), then RADB forwards the signature package to ADM for review. See Section V.A.9 of this handbook, which is entitled “ADM Review (Required for Packages Approved by Chairman, the EDO, the CFO, or the CHCO).”
      (ii) If the MD is issued under the authority of the originating office, then RADB forwards the signature package to OGC for final review and determination of no legal objection. See Section V.A.8, “Office Director Review,” of this handbook.

8. Office Director Review

   (a) Once the OD is satisfied with the MD, the OD concurs by signing NRC Form 522.

   (b) The OD then returns the signature package to RADB for publication.

9. ADM Review (Required for Packages Approved by Chairman, the EDO, the CFO, or the CHCO)

   ADM reviews signature packages that are to be approved by the Chairman, the EDO, the CFO, or the CHCO and takes the following actions:

   (a) If ADM concurs on the MD, it signs the NRC Form 522. See the flow chart for Core Review.

   (b) If ADM requests changes to the MD, ADM forwards the changes and the entire signature package to the originating office.

      (i) The originating office resolves ADM's changes and submits the signature package to RADB for editing and formatting.

      (ii) RADB forwards the updated document to the originating office.

      (iii) If the originating office approves the changes it returns the signature package to ADM.

      (iv) Once ADM concurs on the MD, it signs the NRC Form 522.

      (v) ADM then forwards the signature package to OGC.

10. OGC Review

    OGC reviews the signature package and takes one of the following two actions:

    (a) If OGC has no legal objection to the MD, OGC signs NRC Form 522. See the flow chart for Core Review.

    (b) If OGC requests changes to the MD, OGC forwards the changes and the entire signature package to the originating office.

      (i) The originating office resolves OGC's changes and returns the entire signature package to RADB for editing and formatting.

      (ii) RADB forwards the updated document to the originating office.

      (iii) If the originating office approves the changes it returns the signature package to OGC.

      (iv) Once OGC has no legal objection to the MD, OGC signs the NRC Form 522.

      (v) OGC then forwards the signature package to the next designated signing official. See the flow chart for Core Review.

B. EDO Review and Signature

Some MDs require review by the EDO. See Section III.C of this directive ("Executive Director for Operations"). Detailed procedures are available below and are also illustrated on the accompanying flow chart Review by EDO and Chairman. The EDO reviews the signature package and takes one of the following two actions:

1. If the EDO concurs on the MD, the EDO signs the NRC Form 522. See the flow chart for Review by EDO and Chairman.
2. If the EDO requests changes to the MD, the EDO forwards the changes and the entire signature package to the originating office.
   (a) The originating office resolves the EDO's changes and returns the entire signature package to RADB for editing and formatting.
   (b) RADB forwards the updated document to the originating office.
   (c) If the originating office approves the changes it returns the signature package to the EDO.
   (d) Once the EDO concurs on the MD, the EDO signs the NRC Form 522.
   (e) The EDO then forwards the signature package to the next designated signing official or to RADB for publication. RADB will publish the MD on the agency's internal and external Web sites. RADB will then send an announcement to the staff.

C. Chairman Review and Signature

Some MDs require review by the Chairman. See Section III.A, "Chairman," of this directive. Detailed procedures are available below and are also illustrated on the accompanying flow chart Review by EDO and Chairman. The Chairman reviews the signature package and takes one of the following two actions:

1. The Chairman concurs by signing NRC Form 522. See the flow chart for Review by EDO and Chairman.
2. If the Chairman requests changes to the MD, the Chairman's office forwards the changes and the entire signature package to the originating office.
   (a) The originating office resolves the Chairman's changes and returns the entire signature package to RADB for editing and formatting.
   (b) RADB forwards the updated document to the originating office.
   (c) If the originating office approves the changes, it returns the signature package to the Chairman's office.
   (d) Once the Chairman concurs on the MD, the Chairman signs the NRC Form 522.
   (e) The Chairman's office then returns the signature package to RADB for publication. RADB will publish the MD on the agency's internal and external Web sites. RADB will then send an announcement to the staff.

D. CFO Review and Signature

Some MDs require review by the CFO. See Section III.D of this directive ("Chief Financial Officer (CFO)"). Detailed procedures are available below and are also illustrated on the accompanying flow chart Review by CFO. The CFO reviews the signature package and takes one of the following two actions:

1. The CFO concurs by signing NRC Form 522. See the flow chart for Review by CFO.
2. If the CFO requests changes to the MD, the CFO forwards the changes and the entire signature package to the originating office.
   (a) The originating office resolves the CFO's changes and returns the entire signature package to RADB for editing and formatting.
   (b) RADB forwards the updated document to the originating office.
   (c) If the originating office approves the changes it returns the signature package to the CFO.
   (d) Once the CFO concurs on the MD, the CFO signs the NRC Form 522.
   (e) The CFO then forwards the signature package to the next designated signing official or to RADB for publication. RADB will publish the MD on the agency's internal and external Web sites. RADB will then send an announcement to the staff.

E. CHCO Review and Signature

Some MDs may be issued by the CHCO. See Section III.E of this directive ("Chief Human Capital Officer (CHCO)"). Detailed procedures are available below and are also illustrated on the accompanying flow chart Review by CHCO. The CHCO reviews the signature package and takes one of the following two actions:

1. The CHCO concurs by signing NRC Form 522. See the flow chart for Review by CHCO.
2. If the CHCO requests changes to the MD, the CHCO forwards the changes and the entire signature package to the originating office.
   (a) The originating office resolves the CHCO's changes and returns the entire signature package to RADB for editing and formatting.
   (b) RADB forwards the updated document to the originating office.
   (c) If the originating office approves the changes it returns the signature package to the CHCO.
   (d) Once the CHCO concurs on the MD, the CHCO signs the NRC Form 522.
   (e) The CHCO then forwards the signature package to the next designated signing official or to RADB for publication. RADB will publish the MD on the agency's internal and external Web sites. RADB will then send an announcement to the staff.

F. Comment Resolution

1. The originating office will accept or deny reviewers' comments to the extent feasible.
2. When significant, unresolved differences arise between the originating offices and offices reviewing a draft MD, the originating office shall take one of the following steps:

   (a) If the originating office reports to the EDO, the originating office will submit a summary of the disputed issues to the EDO for resolution.

   (b) If the originating office reports to the Chairman or the Commission, the originating office will submit a summary of the disputed issues to the Chairman for resolution.

VI. EXPEDITED REVIEW, SIGNATURE, AND PUBLICATION PROCESS

NRC allows offices to quickly make changes to MDs published on the agency's internal Web site. This streamlined review, signature, and publication process is only available under the circumstances described below.

A. Types of Expedited Review Available

1. Routine and Administrative Changes

   The following types of changes are considered "routine and administrative":

   (a) Updating the annual pay charts that are enclosures to MD 10.41, "Pay Administration";

   (b) Updating the reference to an external handbook or exhibit, such as "Political Activity and the Federal Employee," which serves as the handbook for MD 7.10, "Political Activity";

   (c) Changing the names of branches, divisions, and offices when reorganizations occur;

   (d) Correcting obvious errors or inadvertent omissions, including incorrect cross-references; and

   (e) Changing or adding references to NRC programs once the programs are revised or implemented.

2. Changes to Ensure Conformity with the Law or Regulations

   When a law or regulation has changes, NRC is required to ensure that its directives and handbooks conform to the change.

B. Criteria for Expedited Review

In order to be eligible for expedited review, an MD must meet the following criteria:

1. The major areas in the MD must still be valid. The MD will not be eligible for expedited review if major areas in the MD are no longer valid.
2. The originating office must send a request for expedited review to OIG and OGC. OIG and OGC will be asked to comment on the request before it is granted or denied.
3. ADM, OIG, and OGC have the discretion to grant or deny expedited review of MDs.

C. Process

1. The originating office notifies RADB that OIG and OGC have accepted the focused changes for expedited review and confirms that the following conditions have been met:
   (a) The revisions are limited and routine in nature, pursuant to MD 1.1.
   (b) The substantive content of the MD is reasonably current.
   (c) The document is not a manual chapter.
2. The originating office sends a draft of the MD to RADB, along with a signed NRC Form 521, “Request for Publication or Elimination of an NRC Management Directive.” The proposed changes should be clearly indicated on the draft and documented as appropriate for expedited review.
3. RADB makes any necessary editorial and formatting changes and creates the signature package which includes an NRC Form 522, “Approval for Issuance or Elimination of an NRC Management Directive,” and forwards the signature package to the originating office.
4. The originating office reviews the signature package and forwards it to OGC. Once OGC has no legal objection to the MD, OGC signs the NRC Form 522.
5. OGC then forwards the signature package, including the signed NRC Form 522, to the originating office.
6. The originating office forwards the signature package to the OD.
7. The OD forwards the final signature package, including the signed NRC Form 522, to RADB.
8. Upon receipt of the approved MD, RADB will publish the MD indicating the focused change on the agency’s internal and external Web sites. RADB will then send an announcement to the staff.

VII. EFFECTIVE DATE

A. Standard Effective Date

1. A new or revised directive or handbook is effective as of the date it is approved by the authorized official. See Section III, "Organizational Responsibilities and Delegations of Authority," of this directive.
2. A directive or handbook is normally effective for 5 calendar years from the effective date of its last full revision or certification under procedures established in Handbook 1.1.

B. Non-Standard Effective Date

1. When a management determination or a legal or administrative requirement necessitates setting an effective date other than the approval date, the specified effective date is stated on the first page of the directive or handbook.
2. The effective period of a directive or handbook may be extended or shortened as determined by ADM.

VIII. PERIODIC REVIEW OF MDS REQUIRED

A. Review Schedule

1. Certification

   At least every 5 years, each MD must be reviewed and reissued or certified as still relevant.

2. Extension

   The OD, or his or her designee, may request an extension by submitting a signed NRC Form 523, "Request for Extension—NRC Management Directive."

   (a) An extension of the MD expiration date requires approval by the Chairman, the Commission, the EDO, the CFO, or the CHCO, as appropriate.

   (b) Offices should consider the criteria in Sections 3.2.1, 3.2.2, and 3.2.3 of OEDO Procedure 0370, Rev. 1, "Setting Due Dates for EDO-Controlled Action Items and Requesting Extensions and Transfers," when requesting an extension (Accession No. ML083020494). When the criteria in OEDO Procedure 0370 do not apply, offices should—

   (i) State the extenuating circumstances for consideration by the approving official.

   (ii) Describe in detail all efforts made to expedite the revision.

B. Compliance

1. ODs may take one of the following actions to ensure that MDs assigned to them are in compliance:

   (a) Certify the accuracy and currency of the MD and reissue it.

(b) Revise the MD using the standard or expedited process described in Section IX of this handbook.

2. NRC may have published related policy announcements (yellow announcements) that reference a specific MD section. Yellow announcements serve as interim policy and guidance until the entire MD is revised and republished. When the MD is republished, it incorporates any relevant yellow announcements and supersedes them. If NRC has issued policy announcements that have not yet been incorporated into the MD, then the office is precluded from using the expedited certification process presented in Section IX of this handbook.
3. Office compliance will be tracked through the agencywide performance measure on MD timeliness, which is reported quarterly, as applicable.

IX. EXPEDITED CERTIFICATION PROCESS FOR UNREVISED MDS

Unrevised MDs may be certified accurate and current using the following process:

A. Requirements

1. Certification requires the responsible OD to confirm to ADM the following:
   (a) All guidance in the MD is current and adequate.
   (b) No unincorporated, interim policy documents are outstanding.
   (c) All significant comments have been addressed.
2. If an office intends to certify and reissue a MD rather than revise an expiring MD, the following requirements must be met:
   (a) The impending certification must be announced to the staff at least 30 days in advance, including notification that failure to comment by the due date may be treated as tacit concurrence.
   (b) Substantive comments are noted and addressed when a request for certification is sent to ADM.
   (c) Certification must be approved by ADM.

B. ADM's Discretion To Grant or Deny Expedited Certification

Comments raised during the review process may indicate that the MD requires substantive revision rather than a simple certification of the MD's currency. If ADM determines that substantive revision is required, ADM has the discretion to deny the expedited certification and return the MD to the responsible OD for revision.

X. ELIMINATION OF MDS

A. Request for Elimination

1. The originating office may request that an MD be eliminated. The request must be submitted on NRC Form 521 and signed by the OD.

2. While the request for MD elimination is processed, the current MD remains in effect.
3. OIG and OGC must review the elimination proposal. If OIG, OGC, or ADM object to the elimination of the MD, then the MD may not be eliminated. However, if OIG, OGC, and ADM do not object to the elimination of the MD, then the originating office should continue the steps described below in Sections X.B.2 through X.B.7 of this handbook.
4. If comments or objections from ADM, OIG, or OGC are not resolved, then the originating office may not proceed with the MD elimination process.

B. Procedure for Eliminating MDs

1. **Step One:** Submit Notice of Intent to Eliminate an MD

   (a) The OD for the originating office must submit the following to OIG, OGC, ADM, and any other offices that would be affected by the elimination of the MD:

   (i) A memorandum explaining the reasons that the MD should be eliminated as well as the effects of the MD elimination and requesting comment on the proposed elimination.

   (ii) A copy of the MD to be eliminated.

   (b) The offices will respond as follows:

   (i) OIG will review the request and may provide comment. At this time, OIG will also indicate whether it wishes to review the future signature package for this MD.

   (ii) OGC will review the request and may provide comment and indicate any legal objection.

   (iii) ADM and any other offices affected by the proposed MD elimination will review the request, provide comment, and either concur or not concur.

2. **Step Two:** Create Comment Resolution Document

   (a) The originating office resolves the comments received from ADM, OIG, OGC, and any other offices that would be affected by the elimination of the MD.

   (b) Once all comments have been resolved, the originating office creates a comment resolution document.

   (c) A comment resolution document provides the following information:

   (i) The comments received.

   (ii) The office that submitted the comment.

   (iii) The resolution of the comment.

3. **Step Three:** Submit MD Elimination Request to RADB

   The originating office submits the following to RADB:

   (a) A completed NRC Form 521 signed by the OD,

(b) A copy of the MD to be eliminated,

(c) The comment resolution document, and

(d) Related background material, including OGC's determination whether elimination of the MD is a rule in accordance with the Congressional Review Act (CRA).

4. **Step Four:** RADB Creates the Signature Package and Forwards to OGC and OIG

(a) RADB creates the signature package, which includes NRC Form 522.

(b) If OIG wishes to review the signature package, then RADB will forward the signature package to OIG. If OIG receives the signature package, then it will review the documentation.

(c) Review by OGC is mandatory. OGC will review the signature package and determine if it has a legal objection.

5. **Step Five:** If OGC Has No Legal Objection, Forwards the Signature Package to the Required Offices to Review

(a) If OGC has no legal objection to the elimination of the MD, then OGC signs the NRC Form 522.

(b) OGC then forwards the package to the EDO, the CFO, or the Chairman, as appropriate.

6. **Step Six:** Final Approval

(a) Final approval of the request to eliminate an MD occurs when all approving officials/offices have signed NRC Form 521 and NRC Form 522.

(b) The authority to eliminate an MD is non-delegable; therefore, all signature packages authorizing the elimination of an MD must be signed by the Chairman, the EDO, the CFO, or the CHCO, as appropriate.

7. **Step Seven:** RADB Updates Web Sites to Reflect MD Elimination and Sends an NRC Announcement to Staff

Once NRC Form 522 has been approved, the following actions will be taken:

(a) RADB will mark the title of an eliminated MD as "ELIMINATED" on the agency's internal and external Web sites.

(b) RADB will withdraw the eliminated MD number and will not reuse it.

(c) RADB will send an NRC announcement to the staff, notifying them of the elimination of the MD. If replacement guidance is available, the NRC announcement will so indicate.

XI. CONVERSION OF MANUAL CHAPTERS

A. Conversion of Manual Chapters Required

1. Each manual chapter must be converted to an MD.
2. The OD is responsible for ensuring the conversion of all manual chapters under his or her purview.

B. Process to Convert Manual Chapters

1. The originating office converts the manual chapter to the standard MD format described above. See Section III, “Writing MDs,” of this handbook.
2. The originating office revises the manual chapter so that it succinctly reflects existing policy, including—
   (a) Any changes in law or regulation
   (b) Policy changes communicated through yellow announcements, and the like, since the issuance of the manual chapter.
3. The originating office forwards the converted document to RADB. The rest of the process follows steps 2 through 10 of the Core Review Process, shown in Section V.A, “Core Review Process,” of this handbook.

XII. WEB GUIDANCE

The following flow charts can be found on NRC’s internal Web site and have been linked to Handbook 1.1 for convenience:

- Flow chart for Core Review.
- Flow chart for Review by EDO and Chairman.
- Flow chart for Review by CFO.
- Flow chart for Review by CHCO and EDO.

XIII. GLOSSARY

A. Originating Office

1. The originating office is the office that owns the content of the MD.
2. The originating office creates or revises the MD.
3. The originating office ensures that all of its MDs are revised or certified in a timely manner, in accordance with the NRC Plan to Update MDs (formerly the 5-Year Plan).

B. Primary Contact Person

The primary contact person is the individual in the originating office who oversees the creation or revision of the MD on behalf of his or her office.

C. Reviewer

1. A reviewer carefully reads and analyzes both the content and the formatting of an MD.
2. Reviewers then forward comments or objections to the primary contact person.

D. Comments

1. Once the reviewer analyzes the content and formatting of an MD or handbook, the reviewer forwards his comments to the primary contact person.
2. A comment may express concerns, provide suggestions, or indicate the need for further discussion.
3. The primary contact person receives and ensures that all comments are resolved to the extent possible, pursuant to Section V.F, “Comment Resolution,” of this handbook.
4. The primary contact person records all high-level and relevant comments as well as their resolutions on the comment resolution document.

E. Comment Resolution Document

1. The comment resolution document is the agency’s historical record of all high-level and relevant comments received by reviewers and the resolution of such comments.
2. The primary contact person records all high-level and relevant comments as well as their resolutions on the comment resolution document.

F. Concurrence

1. Once the reviewer has analyzed the content and formatting of an MD, then he or she takes one of the following actions:
   (a) If the reviewer represents OGC, then he or she indicates whether he or she has any legal objection to the MD.
   (b) If the reviewer represents OIG, then he or she may provide comment as appropriate.
   (c) If the reviewer represents an office other than OIG and OGC, then he or she indicates whether he or she concurs on the document.
2. A reviewer indicates his or her initial concurrence (or lack of legal objection) by signing NRC Form 521, “Request for Publication or Elimination of an NRC Management Directive.”
3. A reviewer indicates his or her final concurrence (or lack of legal objection) by signing NRC Form 522, “Approval for Issuance or Elimination of an NRC Management Directive.”

G. Legal Objection (OGC)

After reviewing an MD, reviewers from OGC indicate whether they have any legal objection to the MD; reviewers from OGC do not concur.

H. Approval Date

1. An MD's approval date is the date that the final approving authority concurs on the document.
2. The approval date is the date that the MD becomes effective.

I. Amended MD

An MD is amended when minimal, administrative changes are made to it.

J. Revised MD

An MD is revised when its content is substantially changed and the MD is then approved by all necessary reviewers.

K. Elimination of an MD

1. An MD may be eliminated when it has become obsolete, unnecessary, or contrary or inconsistent with current law.
2. Section I.B of this handbook establishes the threshold criteria for the elimination of an MD.
3. Careful procedures must be followed before an MD is eliminated. Section X of this handbook establishes the procedures to request the elimination of an MD.

L. Signature Date

The signature date is the date that a reviewer signs either NRC Form 521, "Request for Publication or Elimination of an NRC Management Directive," or NRC Form 522, "Approval for Issuance or Elimination of an NRC Management Directive."

M. Signature Package

1. Once an MD has been reviewed and the required parties have signed NRC Form 521, "Request for Publication or Elimination of an NRC Management Directive," then RADB creates a "signature package."
2. A signature package contains the following:
   (a) Most recent version of the MD;
   (b) Signed NRC Form 521;
   (c) NRC Form 522, "Approval for Issuance or Elimination of an NRC Management Directive";

(d) Most recent version of the comment resolution document;

(e) NRC Form 665S, "NRC Form 665S - ADAMS Document Submission Form - Single Document Only"; and

(f) Related background material, including OGC's determination whether the publication or elimination of the MD is a rule in accordance with the CRA, as applicable.

N. Date Published

All of NRCs MDs are available online. The date that an MD is published is the date that the MD is posted to the Web site.

O. Routine, Administrative Changes

1. From time to time, MDs require routine, administrative changes in order to remain current. For example, the names of branches, divisions, and offices must be updated when reorganizations occur.
2. Section VI.A.1 of this handbook describes routine, administrative changes in more detail.

P. Expiration Date

1. Typically, an MD's expiration date is 5 years after its approval date.
2. If an MD has not been revised or certified before its expiration date, then the MD remains effective after its expiration date.

Q. Certification Date

1. Typically, an MD's expiration date is 5 years after its approval date. However, if an MD does not require any revisions, then the originating office may certify that the MD is still accurate and current.
2. Certification must be approved by ADM.
3. The date that ADM approves the certification is the certification date.
4. Additional information about the certification process can be found in Section IX, "Expedited Certification Process for Unrevised MDs," of this handbook.