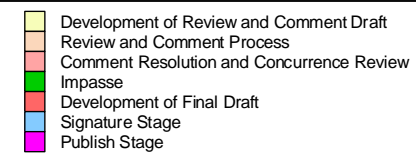
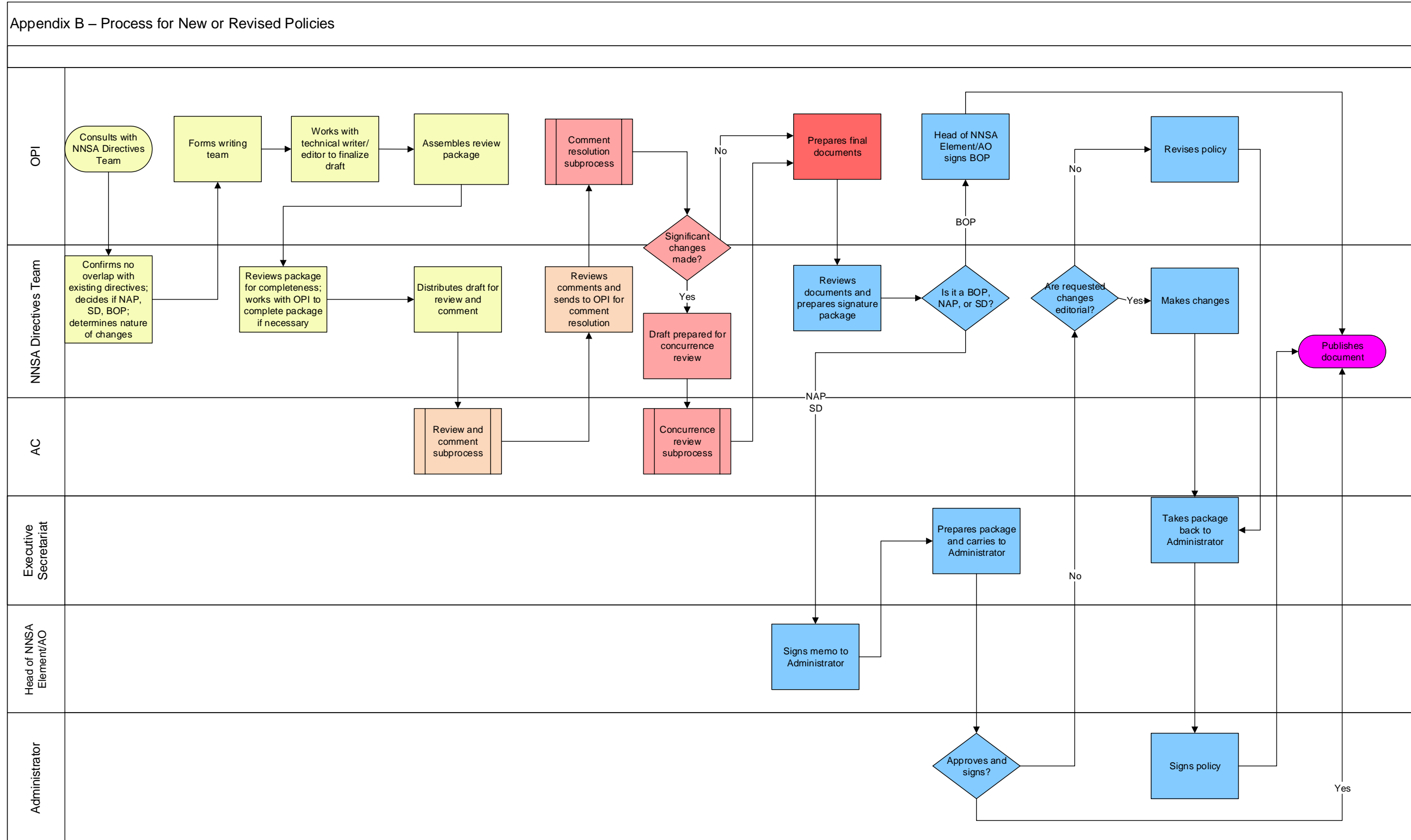


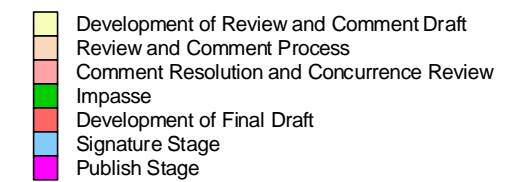
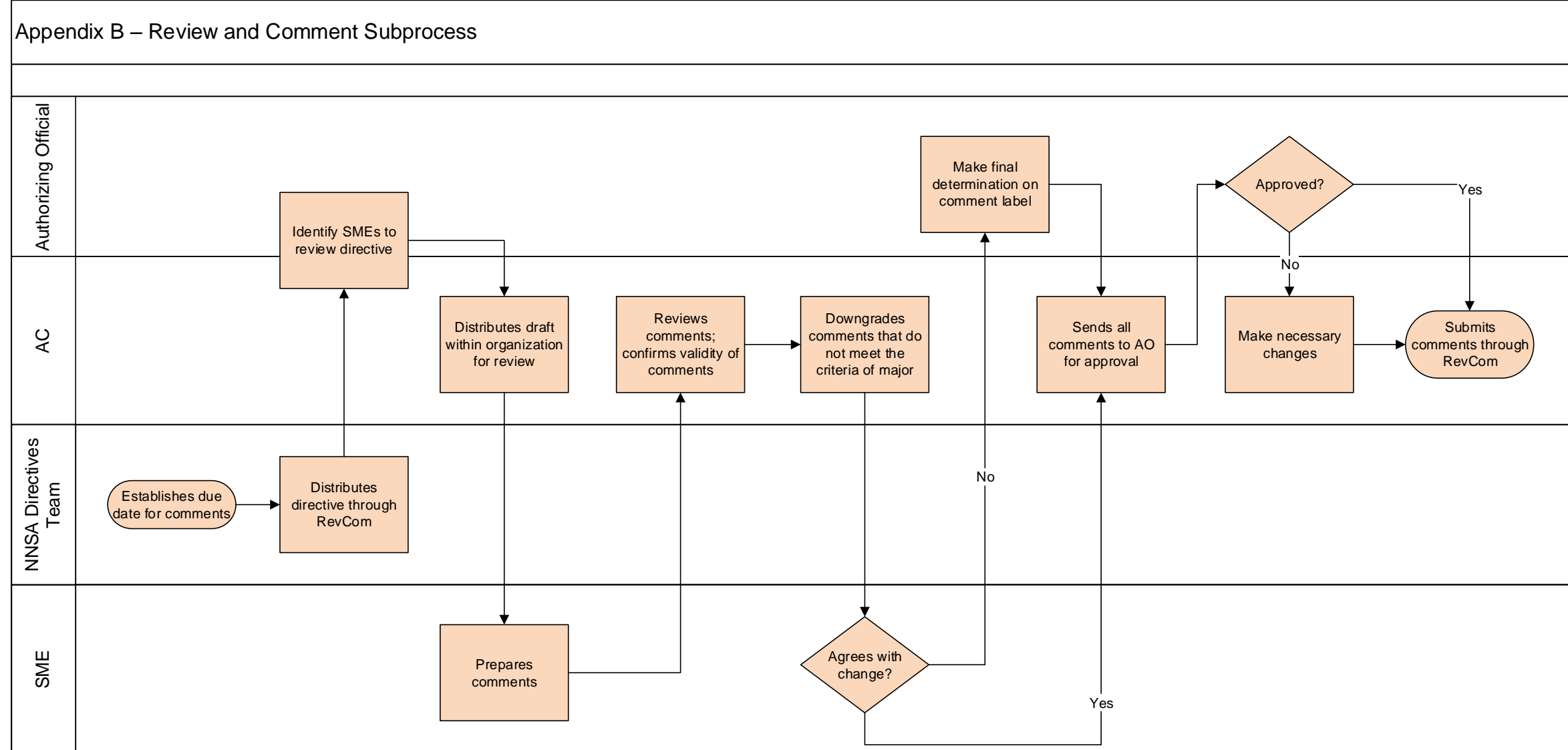
- (a) Accept the comment without change,
 - (b) Accept the comment with modification, or
 - (c) Reject the comment.
 - (d) The OPI is not obligated to obtain the SME's concurrence on the resolution of suggested comments.
- (5) The OPI must address **major** comments in one of the following ways:
- (a) Accept the comment without change,
 - (b) Accept the comment with modification, or
 - (c) Reject the comment.
 - (d) In the latter two cases, the OPI must obtain concurrence from the SME.
- (6) The OPI must document in RevCom the SME's concurrence on the resolution of major comments.
- (7) Proceed to the Post-Comment Resolution Review section (10) after major comments have been resolved to the satisfaction of both the OPI and SME.
- (8) Proceed to the Impasse Process section below if major comments cannot be resolved.
- (9) Impasse Process for Comment Resolution (if needed).
- (a) The NNSA Directives Team facilitates discussions between the OPI and the SME when a major comment cannot be resolved.
 - (b) If this effort fails, the NNSA Directives Team facilitates a meeting between the OPI's Office Director and the SME's Office Director. If resolution cannot be achieved at the Office Director level, the NNSA Directives Team elevates discussions up the OPI's and SME's executive management chains until agreement is achieved. Elevating discussions continues until the disagreement reaches the OPI's and SME's AO.
 - (c) In the event that the AOs cannot reach resolution, the impasse is elevated to the Management Council for discussion and decision by the Principal Deputy Administrator (as chair of the Management Council).

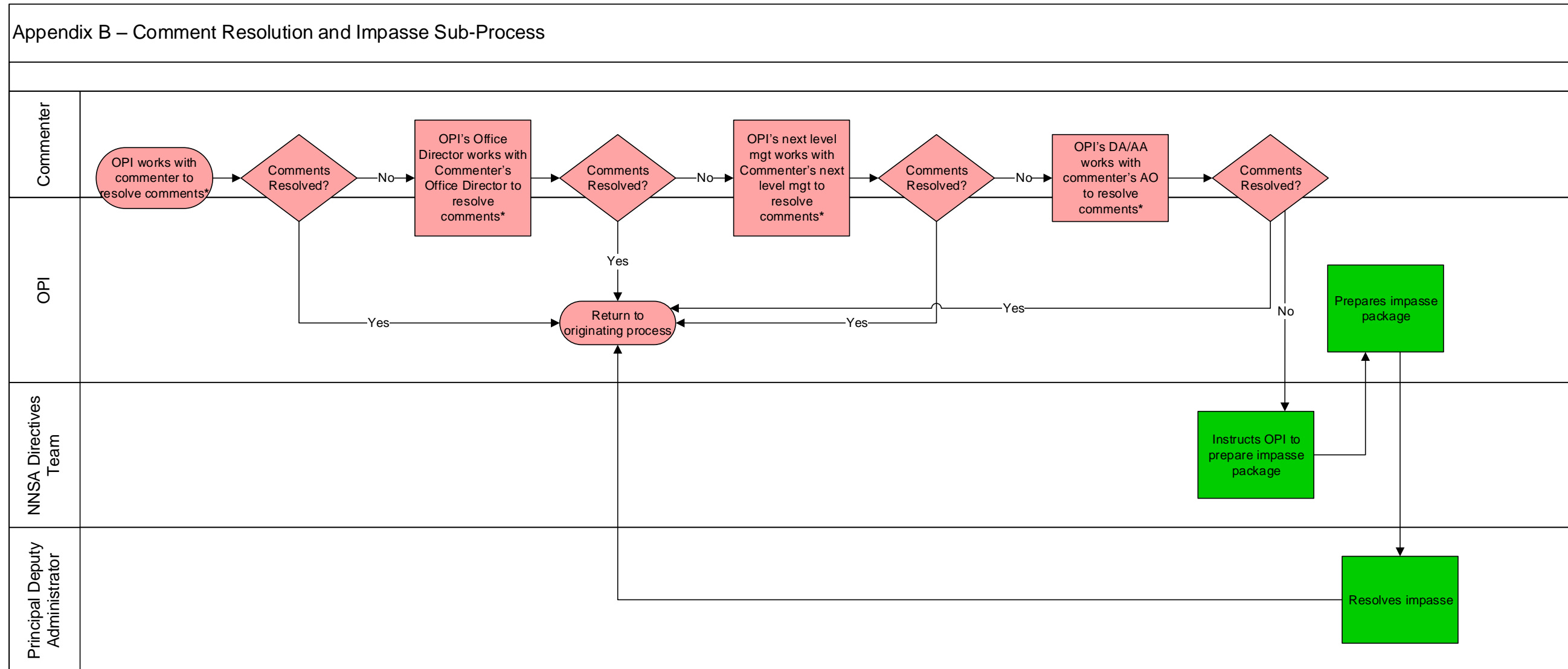
- (d) The OPI collaborates with the NNSA Directives Team to prepare a brief summary of the impasse that describes the OPI's and SME's positions; the summary must be signed by the OPI's AO. The OPI must also obtain concurrence from the SME's AO on the summary.
 - (e) The NNSA Directives Team requests a meeting with the Management Council for the OPI's and SME's AOs. The OPI sends the summary and any required paperwork to the NNSA Directives Team for transmittal to the Management Council prior to the meeting.
 - (f) The OPI collaborates with the NNSA Directives Team to develop a record of decision (a simple memo to file) which documents the Management Council's discussion and the Principal Deputy Administrator's decision. The NNSA Directives Team provides a copy of the record of decision to the SME's AO, AO Delegate, AC, and the SME. The OPI revises the directive to reflect the record of decision.
- (10) Post-Comment Resolution Review (Concurrence Review)
- (a) The NNSA Directives Team determines, in consultation with the OPI, if changes made to the directive resulting from the comment resolution stage were administrative or substantive in nature. Proceed to Appendix D when the changes are administrative.
 - (b) The directive is distributed via RevCom to each NNSA organization's AC, AO, and AO Delegate for a concurrence review if significant changes were made to the directive to address comments received. The review period is 2 weeks; only major comments will be accepted.
 - (c) Return to the Review and Comment and Comment Resolution sections.
- d. Development of the Final Draft.
- (1) After the comment resolution step and the impasse step (if needed) are complete, the OPI sends the following documents to the [NNSA Directives Mailbox](#):
 - (a) Comment resolution matrix from RevCom, which documents the resolution of major comments.
 - (b) Documentation confirming SMEs concurred on how major comments were resolved.

- (c) Redlined Microsoft Word version of the draft directive (including appropriate attachments, appendixes, etc.).
 - (d) Record of decision documenting the Management Council Meeting and the resulting Principal Deputy's decision.
 - (2) The NNSA Directives Team reviews the documents for completeness. If any information is missing, the NNSA Directives Team works with the OPI to finalize the directive package for signature.
- e. Signature.
 - (1) SDs and NAPs:
 - (a) The OPI and the NNSA Directives Team collaborate to write the memo that transmits the directive to the Administrator.
 - (b) NNSA Directives Team:
 - 1 Assembles the signature package, which includes the transmittal memo, a clean copy of the final draft directive, the comment resolution report, a concurrence page, and any background documentation in eDocs.
 - 2 Obtains the signature of OPI's AO and the Director, Office of Policy and Strategic Planning, on the transmittal memo.
 - 3 Delivers the signature package to NNSA's Executive Secretariat for transmittal to the Administrator.
 - (c) The Executive Secretariat returns the signed package to the NNSA Directives Team for processing. The NNSA Directives Team notifies the OPI that the directive has been signed and proceeds to publish the directive.
 - (d) The NNSA Directives Team works with the OPI to determine the path forward to address the Administrator's concerns if the directive is not approved.
 - (2) BOPs: the NNSA Directives Team obtains the signature of the responsible AO for the finalized directive.
- f. Publish.
 - (1) The NNSA Directives Team places an expiration date on the title page of the directive prior to posting it.

- (2) The NNSA Directives Team posts the current directive and archives the cancelled directive on the NNSA Directives website (see the Directives website link in Appendix K).
- (3) The OPI and NNSA's ACs, AOs, and AO Delegates are notified through RevCom that the directive has been published and is available on the Directives website (see the Directives website link in Appendix K).
- (4) The NNSA Directives Team will inform the NNSA workforce upon directive issuance on new, revised, and cancelled directives.







*NNSA Directives Team assists OPI with brokering resolution for major comments

- Development of Review and Comment Draft
- Review and Comment Process
- Comment Resolution and Concurrence Review
- Impasse
- Development of Final Draft
- Signature Stage
- Publish Stage

APPENDIX C: STANDARD OPERATING PROCEDURES

1. **BACKGROUND.** Standard Operating Procedures (SOPs) document internal work processes within a single National Nuclear Security Administration (NNSA) federal organization. SOPs are often referred to as process descriptions, office procedures, work instructions, procedural notes, etc.

SOPs cannot be used to contradict or delete provisions in any statute, regulation, DOE directive, or NNSA directive (i.e., higher level policy). SOPs cannot be used to circumvent the equivalency and exemption process.

Questions regarding SOPs should be directed to Management and Budget's Quality Management Staff, Business Services (NA-MB-20).

A sample format is located on the Directives website (see the Directives website link in Appendix K).

2. **REQUIREMENTS.**
 - a. Each NNSA organization must develop a written methodology for issuing SOPs.
 - b. Minimum elements that must be included in NNSA SOPs are:
 - (1) Number
 - (2) Title
 - (3) Effective date
 - (4) Review date (effective date plus 3 years)
 - (5) Revision history
 - (6) Process owner
 - (7) Overview (purpose, scope, metrics)
 - (8) Requirements (laws, regulations, directives, policies, operational plans, etc., that drive the requirement for this SOP)
 - (9) Steps of the procedure, who performs them, and when
 - (10) Quality Records (records to be maintained in accordance with NNSA Supplemental Directive 243.1, *Records Management Program*)
 - (11) Approval (signature of approving official)

- c. Organization employees must be able to access approved, unclassified SOPs. Appropriate organization employees must be able to access approved, restricted SOPs.
- d. Each NNSA organization must maintain records of their SOPs.

3. RESPONSIBILITIES.

Authorizing Official.

- (1) Establishes a process for approving and implementing SOPs within the organization.
- (2) Selects the format for the organization's SOPs.
- (3) Makes SOPs available electronically to employees, as appropriate.
- (4) Reviews SOPs on a periodic basis, not to exceed every 3 years.
- (5) Delegates the responsibilities above (1-4), as appropriate.

APPENDIX D: ADMINISTRATIVE CHANGES

1. **BACKGROUND.** Administrative changes are edits that add minimal content and do not alter requirements or responsibilities in the affected directive, as determined by the NNSA Directives Program Manager, Office of Policy and Strategic Planning. Examples are (a) typographical errors; (b) changes to organization names or titles of officials; (c) clarifications of intent in response to feedback received; or (d) changes in law, regulations, or legal citations.

To illustrate the process described in this appendix, a flowchart is included as the last page.

2. **PROCESS.**

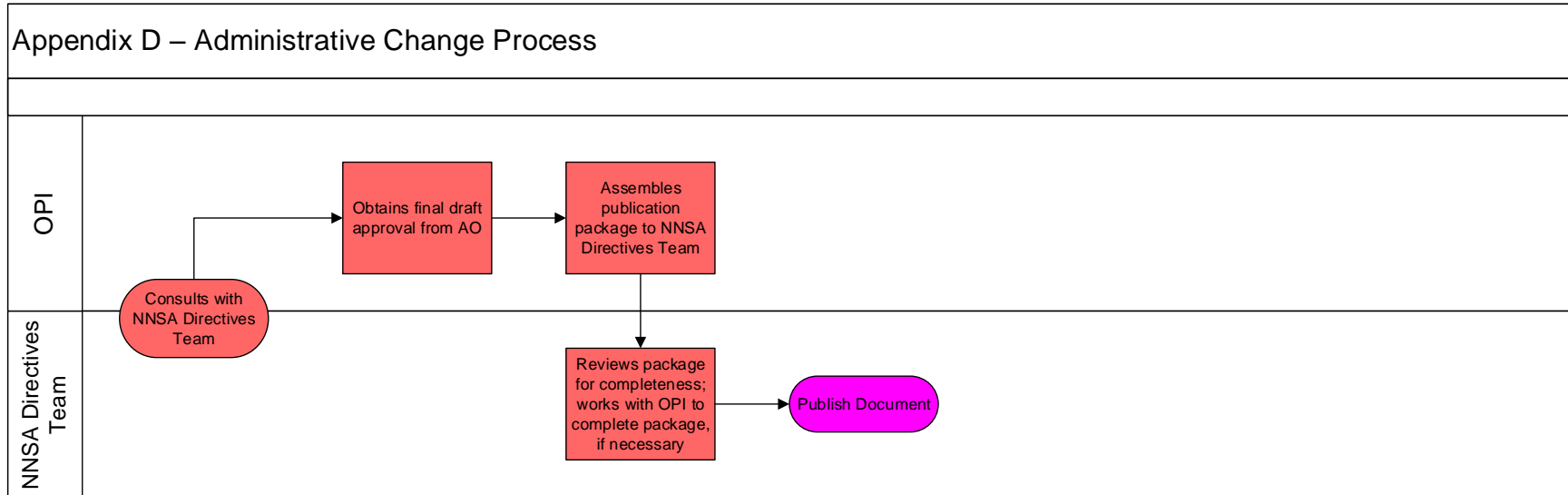
- a. **Final Draft.**

- (1) The Office of Primary Interest (OPI) must consult with the NNSA Directives Team to refine the draft directive that incorporates the administrative change.
- (2) The OPI sends the following items to the [NNSA Directives Mailbox](#) when the OPI and NNSA Directives Team agree that the draft National Nuclear Security Administration (NNSA) directive is ready for publication.
 - (a) Redlined Microsoft Word file of the draft NNSA directive (including appropriate attachments, appendixes, etc.).
 - (b) Approval from the OPI's Authorizing Official (AO) that the draft is ready for publication.
- (3) The NNSA Directives Team reviews the documents for completeness. If any information is missing, the NNSA Directives Team works with the OPI to finalize the package for publication.

- b. **Publish.**

- (1) The NNSA Directives Team places the NNSA seal on the signature page in lieu of a signature.
- (2) The NNSA Directives Team places an expiration date on the title page of the directive prior to posting it.
- (3) The NNSA Directives Team posts the current directive and archives the cancelled directive on the NNSA Directives website (see the Directives website link in Appendix K).

- (4) The OPI, NNSA's ACs, AOs, and AO Delegates are notified through RevCom that the directive has been published and is available on the Directives website (see the Directives website link in Appendix K).



- Development of Review and Comment Draft
- Review and Comment Process
- Comment Resolution and Concurrence Review
- Impasse
- Development of Final Draft
- Signature Stage
- Publish Stage

APPENDIX E: ADVANCE CHANGE DIRECTIVES

1. **BACKGROUND.** Advance Change Directives (ACDs) are temporary directives the Administrator uses to issue urgent or immediate direction to more than one National Nuclear Security Administration (NNSA) federal or contractor organization.

To illustrate the process described in this appendix, a flowchart is included as the last page.

2. **REQUIREMENTS.**

- a. ACDs must be used only to convey direction needed to meet statutory, regulatory, or programmatic requirements that are exigent in nature.
- b. Issuing directives through ACDs must be the exception, not the rule.
- c. The responsible Office of Primary Interest (OPI) must either incorporate the ACD into an existing NNSA directive [Supplemental Directive (SD), Policy (NAP), or Business Operating Procedure (BOP)] or convert it to a new directive as soon as possible and no later than 12 months after the ACD is issued.
- d. ACDs must expire on the date the replacement directive is issued or 12 months after the effective date of the ACD, whichever is earlier.
- e. The process described below must be followed for developing and issuing ACDs.

3. **PROCESS.**

- a. **Development of First Draft.**

- (1) The OPI consults with the NNSA Directives Team, Office of Policy and Strategic Planning after the need to develop an ACD is identified.
- (2) The OPI drafts the ACD that will be signed by the Administrator.
- (3) The OPI must consult with the NNSA Directives Team to refine the initial draft.
- (4) The OPI sends the following items to the [NNSA Directives Mailbox](#) for review after the OPI and NNSA Directives Team agree that the draft ACD is ready for the Administrator's signature:
 - (a) Microsoft Word file of the draft ACD.
 - (b) Approval from the OPI's Authorizing Official (AO) that the draft is ready for the Administrator's signature.

- (5) The NNSA Directives Team reviews the draft ACD for completeness. If any information is missing, the NNSA Directives Team works with the OPI to finalize the ACD for the Administrator's signature.

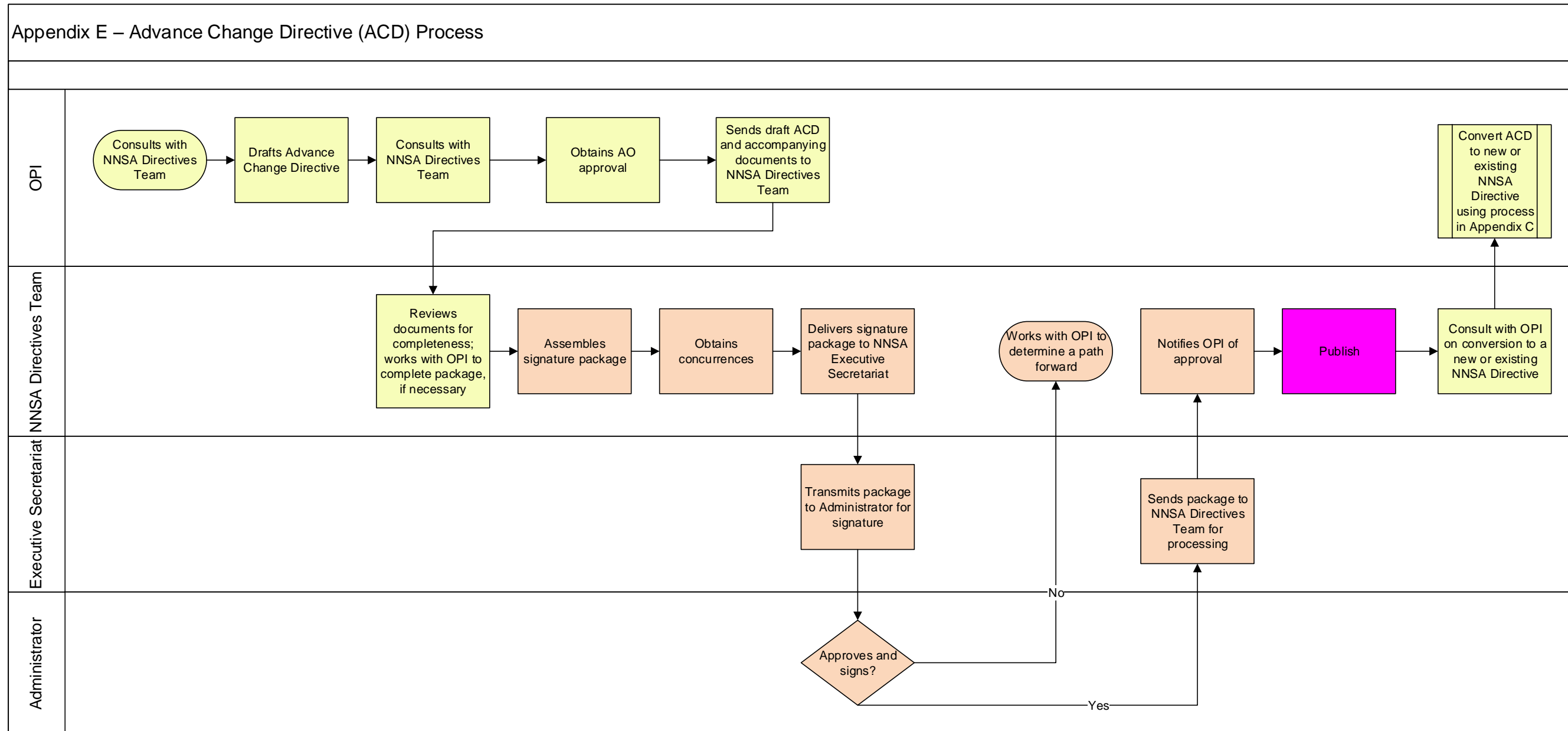
b. Signature.

- (1) The NNSA Directives Team assembles the signature package, which includes a memo to the Administrator requesting approval of the ACD. The OPI collaborates with the NNSA Directives Team to write the memo.
- (2) The NNSA Directives Team obtains concurrences from the AOs of affected NNSA organizations and the Office of General Counsel on the memo requesting the Administrator's signature on the ACD. The NNSA Directives Team also obtains the OPI AO's signature on the transmittal memo to the Administrator.
- (3) The NNSA Directives Team delivers the signature package to the NNSA Executive Secretariat for transmittal to the Administrator.
- (4) The Executive Secretariat returns the signed ACD to the NNSA Directives Team for processing.
- (5) The NNSA Directives Team notifies the OPI that the ACD has been approved and sets an expiration date 12 months from the date of signature.
- (6) If the Administrator does not approve the ACD, the NNSA Directives Team works with the OPI to determine the path forward to address the Administrator's concerns.

c. Publish.

- (1) The NNSA Directives Team posts the ACD on the NNSA Directives website (see the Directives website link in Appendix K).
- (2) The OPI and NNSA's Authorization Coordinators, AOs, and AO Delegates are notified that the ACD has been published and is available on the Directives website (see the Directives website link in Appendix K).

d. Conversion to Formal NNSA Directive. See Appendix B.



- Development of Review and Comment Draft
- Review and Comment Process
- Comment Resolution and Concurrence Review
- Impasse
- Development of Final Draft
- Signature Stage
- Publish Stage

APPENDIX F: CERTIFICATION OF NNSA DIRECTIVES

1. **BACKGROUND.** This appendix describes the process for verifying continuing relevance of existing National Nuclear Security Administration (NNSA) directives (certification) and determining if revision or cancellation is necessary.

The certification process described below applies to Supplemental Directives (SDs), NNSA Policies (NAPs), and Business Operating Procedures (BOPs).

2. **REQUIREMENTS.** NNSA directives must be reviewed every 3 years by the Office of Primary Interest (OPI) as determined by date of approval.

3. **PROCESS.**

- a. The NNSA Directives Team, Office of Policy and Strategic Planning, distributes a checklist annually to each OPI's Authorization Coordinator, Authorizing Official (AO), and AO Delegate that lists the directives due to be reviewed.
- b. The OPI completes the checklist and returns it to the [NNSA Directives Mailbox](#).
- c. The NNSA Directives Team consults with the OPI after the OPI determines the directive is still relevant to determine if any proposed revisions are administrative or substantive in nature.
 - (1) The process steps in Appendix B, Section 3.a. (Development of the Review and Comment Draft) through Section 3.f. (Publish) must be followed for substantive changes.
 - (2) The process described in Appendix D (Administrative Changes) must be followed for administrative changes.
 - (3) The process steps in Appendix G, (Cancellation of NNSA Directives) Section 3. (Process) must be followed when the OPI's AO recommends a directive is no longer relevant or when the OPI fails to take action to certify, cancel, or revise the directive.

APPENDIX G: CANCELLATION OF NNSA DIRECTIVES

1. **BACKGROUND.** This appendix describes the process for cancelling National Nuclear Security Administration (NNSA) Supplemental Directives (SDs), Policies (NAPs), and Business Operating Procedures (BOPs).
2. **REQUIREMENTS.**
 - a. The cancellation process must be followed when a directive is no longer needed or when the Office of Primary Interest (OPI) has not taken action to certify, cancel, or revise the directive.
 - b. NNSA directives must be reviewed every 3 years by the OPI.
 - c. The NNSA Directives Team, Office of Policy and Strategic Planning, must initiate the cancellation process when the OPI has not taken action to certify, cancel, or revise the directive after certification was due.
 - (1) Directives scheduled to expire must undergo a concurrence review (only major comments will be accepted).
 - (2) The current directive must remain in effect until the results of the concurrence review are resolved.
3. **PROCESS.**
 - a. OPI:
 - (1) Consults with the NNSA Directives Team after the need to cancel a directive is identified.
 - (2) Provides the following information on the cancellation memo template for distribution with the directive (see the Directives website link in Appendix K):
 - (a) Original intent of the directive and its revision history.
 - (b) Justification for cancelling the directive and, if applicable, why it is not being replaced and why the requirements are no longer needed.
 - (c) The cancellation's effect on the NNSA nuclear security enterprise and any cost savings, if applicable.
 - (d) Concurrence from the OPI's Authorizing Official (AO) that the directive should be cancelled.

- b. The process steps in Appendix B, Sections 3.b. (Review and Comment) and 3.c. (Comment Resolution) are followed with the exception that the directive is posted in RevCom for a concurrence review and only major comments will be accepted.
- c. The OPI documents the results of the concurrence review in the draft cancellation memorandum prepared in Step 3.a.(2) above. After the OPI and the NNSA Directives Team agree the draft cancellation memorandum is ready for signature, the OPI sends a Microsoft Word file of the memorandum to the [NNSA Directives Mailbox](#).
- d. The NNSA Directives Team obtains approval of the cancellation memorandum:
 - (1) The process in Appendix B, Section 3.e.(1) (Signature) is followed for SDs and NAPs.
 - (2) The signature of the responsible AO is obtained for BOPs on the cancellation memorandum.
- e. The NNSA Directives Team posts the cancelled directive and the memo approving the cancellation in the archives section of the Directives website and notifies Authorization Coordinators, AOs, and AO Delegates that the directive is no longer in effect.

APPENDIX H: DEVELOPMENT OR REVISION OF DOE DIRECTIVES

(RESERVED)

APPENDIX I: ACRONYMS/ABBREVIATIONS

a.	<u>AC</u>	Authorization Coordinator
b.	<u>ACD</u>	Advance Change Directive
c.	<u>AO</u>	Authorizing Official
d.	<u>BOP</u>	Business Operating Procedure
e.	<u>CFR</u>	Code of Federal Regulations
f.	<u>CRD</u>	Contractor Requirements Document
g.	<u>CTA</u>	Central Technical Authority
h.	<u>DOE</u>	Department of Energy
i.	<u>DOE O</u>	Department of Energy Order
j.	<u>DRB</u>	Directives Review Board
k.	<u>IA</u>	Interagency Agreement
l.	<u>MOU</u>	Memorandum of Understanding
m.	<u>NA-1.1</u>	Office of Policy and Strategic Planning
n.	<u>NAP</u>	NNSA Policy
o.	<u>NNSA</u>	National Nuclear Security Administration
p.	<u>OPI</u>	Office of Primary Interest
q.	<u>RevCom</u>	Automated Review & Comment Tool
r.	<u>SAC</u>	Senior Authorization Coordinator
s.	<u>SD</u>	Supplemental Directive
t.	<u>SME</u>	Subject Matter Expert
u.	<u>SOP</u>	Standard Operating Procedure
v.	<u>U.S.C.</u>	United States Code

APPENDIX J: DEFINITIONS

- a. Administrative Changes. Edits that add minimal content and do not alter requirements or responsibilities in the affected directive, as determined by the NNSA Directives Program Manager. Examples are (a) typographical errors; (b) changes to organization names or titles of officials; (c) clarifications of intent in response to feedback received; or (d) changes in law, regulations, or legal citations.
- b. Advance Change Directive. Temporary directive the Administrator uses to issue urgent or immediate direction to more than one NNSA organization.
- c. Authorization Coordinator (AC). An NNSA organization's staff member who provides administrative support to Authorizing Officials (AOs) and AO Delegates. Duties include assigning subject matter experts to review directives, collecting and consolidating comments, entering the organization's official comments into RevCom, and serving as the organization's liaison to the NNSA Directives Team, Office of Policy and Strategic Planning, on directives issues. Appointed by memorandum by the Authorizing Official; acknowledges responsibilities in writing.
- d. Authorizing Official (AO). The Head of an NNSA Element or the most senior executive of a contractor organization.
- e. Authorizing Official (AO) Delegate. Senior-level direct report to either the AO or the AO's Deputy (Chief of Staff, Executive Director, Executive Officer) chosen by the AO to execute the AO's delegable responsibilities.
- f. Business Operating Procedure (BOP). Establishes business procedures not covered in a Supplemental Directive or NNSA Policy (see Appendix A, Types of NNSA Directives).
- g. Certification. Process for reviewing directives that have been in effect for 3 years for accuracy and continued relevance (see Appendix F, Certification of NNSA Directives).
- h. Central Technical Authority (CTA). Executes responsibilities related to the directives process as established in DOE O 410.1, *Central Technical Authority Responsibilities Regarding Nuclear Safety Requirements*, and SD 410.1A, *NNSA CTA Responsibilities Regarding Nuclear Safety Requirements*.
- i. Comment Resolution, NNSA. Process in which the OPI responds to comments received during the review of draft directives. Major comments not resolved go through the impasse process described in Appendix B, Development or Revision of NNSA Directives.
- j. Concurrence Review: A directive is issued to NNSA organizations for a second review post Appendix B's comment resolution stage when the directive's requirements or responsibilities were changed or if comment resolution took several months (as determined by the NNSA Directives Team, Office of Policy and Strategic Planning on a

- case-by-case basis). Only major comments are accepted. Major comments that were resolved during the initial comment resolution cannot be re-negotiated.
- k. Contractor Requirements Document (CRD). An attachment to an SD or NAP that states the parts of the directive that apply to contractors. When required, a CRD is included as Attachment 1 to a directive.
 - l. Coordination. Process by which all affected or interested NNSA federal organizations review and comment on draft directives and all affected NNSA Management and Operating contractors comment on Contractor Requirements Documents. (NNSA federal organizations have discretion to ask contractor subject matter experts to review entire directives. Contractor-originated comments that are accepted by AOs must be sent in and defended by the federal organization.)
 - m. Departmental Elements. DOE Headquarters elements and first-tier organizations.
 - n. Deputy Heads of NNSA Elements. Principal Assistant Deputy Administrators, Deputy Associate Administrators, Deputy Field Office Managers, General Counsel Deputies, the Deputy Director of the Office of Policy and Strategic Planning, and the Deputy Director of the Office of Cost Estimating and Program Evaluation.
 - o. Directives, DOE. Official communications of policies, requirements, and procedures used to inform, direct, and guide employees in the performance of their duties, and to enable employees to work effectively within the Department and with other Government agencies, contractors, and the public. DOE directives include Policies, Orders, Notices, Manuals, and Guides.
 - p. Directives, NNSA. Documents used to establish, communicate, and institutionalize policies, requirements, responsibilities, and procedures specific to NNSA federal organizations and contractors. NNSA directives consist of Supplemental Directives (SDs), Policies (NAPs), Advance Change Directives (ACDs), Business Operating Procedures (BOPs), and Standard Operating Procedures (SOPs). SDs, NAPs, ACDs, and BOPs are mandatory, carry equal weight, and affect more than one NNSA organization.
 - q. Directives, NNSA-owned. DOE Directives for which NNSA is the Office of Primary Interest.
 - r. Directives Review Board (DRB). Established by DOE O 251.1D, and chaired by the Director of DOE's Office of Management, the Board advises and concurs on DOE directives before their release DOE-wide for comment and final issuance. Board membership is comprised of senior representatives from each of the three Under Secretarial Offices, the Office of General Counsel, and the Office of Environment, Health, Safety and Security. Advisory members include senior representatives from the National Laboratory Directors Council and the Field Management Council.

- s. Editorial Comment. Term used in DOE Order 251.1D, *Departmental Directives Program*, to refer to suggested comments.
- t. Equivalencies. Alternatives to meeting a requirement in a DOE or NNSA directive. Equivalencies represent an alternative approach to achieving the goal of the directive. Unless otherwise defined in a specific NNSA directive, equivalencies are granted by the Administrator.
- u. Exemptions. The release from one or more requirements in a DOE or NNSA directive. Unless otherwise defined in a specific NNSA directive, exemptions are granted by the Administrator.
- v. Expiration Date. Date assigned by the NNSA Directives Team, Office of Policy and Strategic Planning, to a directive which is 3 calendar years from the date the directive was last certified by the directive's Office of Primary Interest.
- w. Functional Organization. NNSA Headquarters organization who has responsibility for the subject area covered by a DOE directive when NNSA is not the OPI for the directive. Alternatively, a DOE Headquarters organization who has Departmental responsibility for a subject area covered by an NNSA SD, NAP, or ACD.
- x. Guides. Used by DOE to provide acceptable, but not mandatory, means for complying with requirements included in DOE Orders or Manuals that have not yet been phased out. Guides must be associated with a directive or a rule. Guides do not impose requirements, but may quote requirements if the sources are adequately cited.
- y. Heads of NNSA Elements. Deputy Administrators, Associate Administrators, Field Office Managers, General Counsel, the Director of the Office of Policy and Strategic Planning, and the Director of the Office of Cost Estimating and Program Evaluation.
- z. Impasse. When a resolution of major comments or other directives-related issues cannot be agreed on between NNSA organizations or between NNSA and DOE organizations and the issue is raised to the Principal Deputy Administrator or Deputy Secretary for decision.
- aa. Interagency Agreement (IA). An interagency agreement is a document that defines cooperative work between government agencies and departments. The agreement defines the parties involved, the work performed, and the transfer of technologies and funds.
- bb. Major Comment. Comments that identify serious consequences that may result from implementing the directive. Examples include concerns that raise health, safety, or environmental issues; preclude or hamper mission accomplishment; hinder compliance with applicable laws, rules, or regulations; hamper fulfilling contractual obligations or formal commitments; create costly inefficiencies with no corresponding benefit; or identify important missing or conflicting information that prevents successful implementation of the directive. (DOE uses *Substantive Comment* and *Significant*

Comment instead of *Major Comment* to refer to the examples provided in this definition.)

- cc. Manuals. Used by DOE to dictate how federal and contractor employees are to implement requirements. Manuals are being phased out and canceled or converted to or incorporated into directives, as appropriate. Manuals will not be revised and no new Manuals will be created.
- dd. Memorandum of Understanding (MOU). A nonbinding agreement between two or more parties outlining the terms and details of an understanding, including each parties' requirements and responsibilities. An MOU is often the first stage in the formation of a formal contract.
- ee. NNSA Organizations. Headquarters elements and sub-elements that report directly to the Administrator, and NNSA Management and Operating (M&O) contractors.
- ff. NNSA-owned Directive. A DOE Directive for which NNSA is the Office of Primary Interest.
- gg. NNSA Policy (NAP). Establishes policies, requirements, and responsibilities unique to NNSA that are traceable to parent requirements in laws, regulations, MOUs, or IAs with the exception of requirements established by the Administrator under the authorities of the *NNSA Act*. Focuses on a subject area not covered by a DOE directive or technical standard (see Appendix A, Types of NNSA Directives).
- hh. Nuclear Security Enterprise. Collective term for NNSA's Headquarters program and mission support offices, field offices, laboratories (Sandia, Los Alamos, and Lawrence Livermore National Laboratories), production plants (Y-12 Plant, Pantex Plant, Kansas City National Security Campus, Savannah River Site), and the Nevada National Security Site.
- ii. Office of Primary Interest (OPI). The office responsible for originating and writing a directive and maintaining its accuracy and currency.
- jj. Revision. Edits to a directive that change requirements or responsibilities, or add a substantial amount of content.
- kk. Requirements. Actions that must be completed or processes that must be followed in order to achieve a directive's purpose.
- ll. Responsibilities. Duties and authorities assigned to a position or office to implement, manage, or oversee directives.
- mm. Signature Package for NNSA Directives. The approval memo, a clean copy of the final draft directive, the comment resolution report, a concurrence page, and background documentation relevant to the directive.

- nn. Significant or Substantive Comment. Terms used in DOE O 251.1D, *Departmental Directives Program*, to refer to major comments.
- oo. Suggested Comment. Comments that are editorial or grammatical in nature or identify issues that will not produce serious consequences from implementing the directive. (DOE uses *Editorial Comment* instead of *Suggested Comment* to refer to the examples provided in this definition.)
- pp. Supplemental Directive (SD). Augments policies, requirements, and responsibilities covered in a DOE directive or technical standard (see Appendix A, Types of NNSA Directives).
- qq. Unauthorized Directives. Term used in DOE Order 251.1D, *Departmental Directives Program*, to refer to unauthorized directives.
- rr. Unauthorized Directives. Unauthorized directives are documents that apply recurring or long-term requirements to NNSA federal or contractor organizations that have not been reviewed and issued through the DOE or NNSA formal directives processes (e.g., emails and memos, etc.). Unauthorized directives do not include communications from Contracting Officers and Contracting Officer's Representatives to contractors or to communications from DOE or NNSA attorneys.

APPENDIX K: REFERENCES

- a. 50 U.S.C. 2401 et seq., *National Nuclear Security Administration Act*.
- b. Title 41, Code of Federal Regulations (CFR), 102-193, *Creation, Maintenance, and Use of Records*.
- c. DOE O 251.1D, *Departmental Directives Program*, dated 1-17-17.
- d. DOE O 410.1, *Central Technical Authority Responsibilities Regarding Nuclear Safety Requirements*, dated 08-28-07
- e. Department of Energy Acquisition Regulation (DEAR) clause 970.5204-2, *Laws, Regulations, and DOE Directives*, (Dec. 2000).
- f. DOE, *Crosswalk of Directives Numbering System*,
<https://www.directives.doe.gov/development-and-review-of-directives/crosswalk-directive-numbering-system>
- g. NNSA SD 410.1A, *Implementation of National Nuclear Security Administration Central Technical Authority Responsibilities Regarding Nuclear Safety Requirements*, dated 6-2-11.
- h. NNSA SD 450.2A, *Functions, Responsibilities, and Authorities (FRA) Document for Safety Management*, dated 7-4-18.
- i. NNSA SD 243.1 Admin Change 1, *Records Management Program*, dated 3-21-16
- j. U.S. Government Publishing Office, *Style Manual*, 2016
- k. U.S. Department of Energy Executive Secretariat [Style Guidelines](#).
- l. [Federal Plain Language Guidelines](#), March 2011.
- m. NNSA Directives Website: <https://directives.nnsa.doe.gov/> (Location of directives, templates, delegations, designations, directive archives, other general helpful information.)