

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

MD 1.1 NRC MANAGEMENT DIRECTIVES DT-18-18 SYSTEM

Volume 1: Management Directives

Approved By: Margaret M. Doane, Executive Director for Operations

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see the [online MD Catalog](#)

Issuing Office: Office of Administration
Program Management, Announcements and Editing

Contact Name: Melissa Ralph

EXECUTIVE SUMMARY

MD 1.1, "NRC Management Directives System," is being revised to describe changes made to streamline the program and align with Project Aim, as described in SECY-16-0035, "Additional Re-Baselining Products" ([ML16077A184](#)).

This revision—

- Describes how the agency is focusing resources on those MDs requiring revision to align with revised policy, including Executive Orders, pertinent laws, regulations, the circulars and directives of other Federal agencies, and yellow announcements.
- Clarifies roles and responsibilities for office directors and regional administrators in ensuring the accuracy, effectiveness, and currency of information in the MD system.
- Removes Office of Administration (ADM) office-level review for MDs authored by other offices.
- Eliminates the expiration of MDs, as well as the due date extension process.
- Incorporates the reorganization of ADM.
- Consolidates and clarifies some sections of the Directive Handbook.

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I. POLICY

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

The U.S. Nuclear Regulatory Commission (NRC) Management Directives (MD) system is a centralized resource for staff to easily find agencywide policy and internal controls. MDs contain the policies and procedures that govern the internal NRC functions necessary for the agency to accomplish its regulatory mission. 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, including respective office or agency internal controls. For example, MDs can reflect enacted legislation, issued Executive Orders, Governmentwide personnel and travel policies, Commission decisions articulated in staff requirements memoranda, and other issuances.

B. Communicating Policy to NRC Employees

It is the policy of the NRC 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

The NRC prepares, issues, and revises MDs and associated directive handbooks (collectively referred to as MDs) to meet the requirement that all Federal agencies make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency.

II. OBJECTIVES

Ensure that MDs published in the NRC 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), 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 MD that affects Chairman or Commission authorities and responsibilities.
2. Approves any request to eliminate an MD issued by an office reporting to the Chairman or the Commission.
3. At his or her discretion reviews and approves an MD 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 MD.
2. Reserves the right to review the implementation of its policy, as advanced in any new or revised MD, 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 MDs that reflect approved policy issues that—
 - (a) Affect the EDO's authorities and responsibilities.
 - (b) Reflect Chairman and Commission decisions that have major implications in terms of agency operations.
2. Approves any request to eliminate an MD issued by an office reporting to the EDO.
3. May delegate the responsibilities and authorities listed in this section, as appropriate.

D. Chief Financial Officer (CFO)

Approves the issuance of new or revised MDs that—

1. Affect CFO authorities and responsibilities.
2. Reflect agency budget and financial policy, procedures, and operations that are consistent with previously established Chairman and Commission decisions.

E. Director, Office of Administration (ADM)

1. Develops, administers, and provides oversight for the MD system, including the issuance of approved policies and procedures, the provision of advice and guidance, and the review of the MD system's operation and effectiveness.
2. For offices reporting to the EDO, recommends to the EDO MDs 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.

F. 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 that—
 - (a) Affect human capital authorities and responsibilities.
 - (b) Reflect agency human resource policy, procedures, and operations that are consistent with any previously established Chairman and Commission decisions.
2. 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.

G. 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 the 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, effectiveness, and currency of information in the MD system.
 - (c) Ensure that all of their offices' MDs are revised or certified in a timely manner, in accordance with the [NRC Plan to Update MDs](#) (formerly the NRC 5-Year Plan).
5. Identify obsolete and redundant directives and handbooks for elimination or consolidation.

H. Director, Program Management, Announcements, and Editing, Office of Administration

1. Approves for publication without office director/regional administrator approval the following revisions to existing directives and handbooks—
 - (a) Routine and administrative revisions such as—
 - 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 by network announcement 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 1, “Statement of Organization and General Information”:

<http://www.nrc.gov/reading-rm/doc-collections/cfr/part001/>.

10 CFR Part 9, “Public Records”:

<http://www.nrc.gov/reading-rm/doc-collections/cfr/part009/>.

Nuclear Regulatory Commission Documents

Forms are available through NRC’s intranet site in the NRC Forms Library on SharePoint, at <http://fusion.nrc.gov/nrcformsportal/default.aspx>.

Internal Commission Procedures Public Web Site:

<http://www.nrc.gov/about-nrc/policy-making/internal.html>.

Management Directive 3.16, “NRC Announcement Program.”

Note to Commissioners' Assistants, "Update of the Management Directive Change Process," January 18, 2018 ([ML17361A353](#)).

NRC Management Directives Internal Web Site:

<http://drupal.nrc.gov/adm/md>.

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 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 ([ML12305A571](#)).

NRC Organization Chart and Functional Descriptions:

<http://www.nrc.gov/about-nrc/organization.html>.

NUREG-1379, Rev. 2, "NRC Editorial Style Guide":

<https://www.nrc.gov/reading-rm/doc-collections/nuregs/staff/sr1379/>.

OEDO Procedure 0370, Rev. 1, "Setting Due Dates for OEDO-Controlled Action Items and Requesting Extensions and Transfers" ([ML083020494](#)).

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

SECY-16-0035, "Additional Re-baselining Products" ([ML16077A184](#)).

The U.S. Nuclear Regulatory Commission and National Treasury Employees Union Collective Bargaining Agreement, available at

<https://www.nrc.gov/docs/ML1609/ML16092A326.pdf>.

United States Code

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

Federal Records Act of 1950, as amended (44 U.S.C. 3101 et seq.).

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

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DH 1.1 NRC MANAGEMENT DIRECTIVES SYSTEM

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I. SYSTEM CONTENT AND STRUCTURE

A. Threshold Criteria for Creation of Management Directives

1. Management directives (MDs) and associated directive handbooks (collectively referred to as MDs) 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 U.S. Nuclear Regulatory Commission (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 by 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 simplified and consolidated whenever possible.

C. System Structure

1. The NRC MD system contains a broad range of policy issuances covering major NRC functions, programmatic responsibilities, and internal controls. 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.

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

TABLE 1 – MD System Volumes		
Vol.	Part	Functional Area
	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. MDs in Volume 9 discuss organizational responsibilities and delegations of authority.
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 MD. It may also identify any portions of the functional area that the MD 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 typically 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 that—

- Reflect delegations of authority to particular NRC officials to perform certain functions and exercise certain authorities,
- Describe the scope of responsibility assigned to specific NRC officials to fulfill major responsibilities, and
- Describe 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 EDO, the General Counsel, the Inspector General, or the 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 the 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 the 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 the MD system controls established in MD 1.1.

1. Scope and Content

- (a) A handbook includes broad coverage of agency policy, internal controls, 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 from the Team Leader for the Directives, Announcements, and Editing Team, (DAET), Program Management, Announcements and Editing (PMAE), 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, etc.—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 in the NRC Forms Library on SharePoint (<http://fusion.nrc.gov/nrcformsportal/default.aspx>) are clearly referenced but normally will not 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 to access the form.

(f) Footnotes

The use of footnotes and endnotes is discouraged to ensure the MD is clear, concise, and easily understood by the NRC staff.

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 using plain language. For details, see [NUREG-1379, "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.
3. Electronic packages are preferred for concurrence and comment on draft MDs.

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 that are not applicable to the programs described in the MD.
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, etc., 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.

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.”

A. Core Review Process

1. The primary contact person in the originating office contacts ADM/PMAE/DAET (hereinafter “DAET”), which manages the review and publication process, and attends the required kickoff meeting.
 - (a) DAET gives author the Word source file for the MD.
 - (b) If the originating office determines that the MD may be issued under the authority delegated to it in MD 1.1, Section III.G, “Office Directors and Regional Administrators,” then the originating office must notify DAET to inform the revision of the MD timeline.

2. After developing the draft MD, the originating office forwards the draft MD to the Office of the General Counsel (OGC), the Office of the Inspector General (OIG), the Office of the Chief Human Capital Officer (OCHCO), and any other necessary reviewing office for comment. Review by OGC, OIG, and OCHCO is required for every new or revised MD. Other necessary reviewing offices are those offices who have substantial roles and responsibilities under the program described in the MD.
 - (a) The originating office must indicate any intentions to issue the MD under its delegated authority when requesting comments.
 - (b) Reviewing offices provide comments on the document.
 - (c) The reviewing offices have 20 working days to review and comment on draft and revised directives, although a shorter review period may be specified for simple revisions or for directives requiring expedited handling. The originating office should extend the comment period for draft directives that are unusually lengthy or complex.
3. Reviewing offices return their comments on the draft document to the originating office.
4. The originating office reviews comments from OGC, OIG, OCHCO, and the other reviewing offices and creates a comment resolution document.
5. Originating Office Director/Regional Administrator Review
 - (a) Once the office director or regional administrator of the originating office is satisfied with the MD, the office director/regional administrator concurs by signing the NRC Form 521, "Request for Publication or Elimination of an NRC Management Directive."
 - (b) By signing the NRC Form 521, the office director or regional administrator confirms that—
 - (i) All interim policy guidance (Yellow Announcements, etc.) has been incorporated into the MD.
 - (ii) Comments were resolved in accordance with Section V.C of this DH and a comment resolution document is attached.
 - (iii) All material referenced is available to staff and that referenced and supporting policy and guidance is current, complete, and available to staff.
 - (iv) Reviewing offices have provided required input, including a statement from OGC as to whether the MD is considered a rule under the Congressional Review Act (CRA).

6. The originating office submits to DAET—
 - (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.
7. DAET Review
 - (a) DAET reviews and accepts the NRC Form 521 package. If the NRC Form 521 package is not complete, DAET works with the originating office to develop a complete and acceptable NRC Form 521 package.
 - (b) DAET determines the level of approval required for the MD and routes the MD package for approval. DAET prepares the final signature package, including the NRC Form 522, “Approval for Issuance or Elimination of an NRC Management Directive” when the package is ready to be routed to the EDO or the final signature authority.
8. 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 provides this determination to DAET.
 - (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 DAET for editing and formatting.
 - (ii) DAET forwards the updated signature package to OGC.
 - (iii) Once OGC has no legal objection to the MD, OGC provides this determination to DAET.
 - (iv) OGC then forwards the signature package to the next designated signing official.

B. Final Review and Signature

1. Once OGC has no legal objection to an MD, DAET routes the package to the next designated signing official.
2. If any designated signing official has comments on the MD, DAET works with the originating office to address the comments, updates the signature package, and returns the package to the signing official.
3. Once the official approves the MD, DAET forwards the package to the next designated signing official.

4. The signature date for the MD is the date that the final signature authority signs the NRC Form 522.
5. Once the MD is signed, DAET will make the MD available online. The publication date is the date that DAET posts the MD to the Web site.

C. Comment Resolution

1. The originating office will resolve 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

The NRC allows offices to make changes quickly to MDs published on the agency's internal Web site. This expedited review, signature, and publication process is only available under the circumstances described below. Expedited review, signature, and publication is not available for MDs that require substantive changes.

A. Types of Expedited Review Available

1. Routine and administrative changes

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

- (a) 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";
- (b) Changing the names of branches, divisions, and offices when reorganizations occur;
- (c) Correcting obvious errors or inadvertent omissions, including incorrect cross-references, broken Web links, typographical errors, etc.; and
- (d) 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 changed, the 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 content of the MD must still be valid. The MD will not be eligible for expedited review if major content areas in the MD are no longer valid.
2. ADM, OIG, and OGC have the discretion to grant or deny expedited review of MDs.

C. Process

1. The originating office notifies DAET that the office intends to certify the MD as valid and eligible for expedited review, which may include focused changes, 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 originating office has confirmed that the substantive content of the MD is reasonably current.
2. DAET works with the originating office to identify the most appropriate mechanism to address the requested change and consults with OIG and OGC to accept expedited review of the MD. If an expedited revision is required, DAET will facilitate the approval and publication process for the revision.

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 MD 1.1.
2. A directive or handbook is normally effective for 8 calendar years from the effective date of its last full revision or certification under procedures established in MD 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 the authorized official.

VIII. REQUIRED INCORPORATION OF POLICY CHANGES

A. Review Schedule

1. Certification

At least every 8 years, each MD must be reviewed and reissued or certified as still relevant. The certification date for an MD is the date that ADM approves an office's certification that its MD is still accurate and current without revision.

2. Extension

There is no extension in the time for either the required office review or the required MD revision.

B. Incorporation of Policy Changes (Policy-related Yellow Announcements)

Policy-related Yellow Announcements can communicate MD changes to staff, in accordance with the agency's collective bargaining agreement and MD 3.16, "NRC Announcement Program." 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.

1. Policy-related Yellow Announcements are effective up to 5 years after the initial issuance date. ODs are required to incorporate the needed policy changes to the related MD within a 5-year period.
2. Yellow Announcements must have a predetermined expiration date, not to exceed 5 years, after the issuance date. The policy change described in a Yellow Announcement will either no longer be needed and canceled or policy elements will be incorporated into an appropriate MD.
3. If the NRC has issued policy announcements that have not been incorporated into the MD yet, then the office is precluded from using the expedited certification process presented in Section IX of this handbook.

C. Compliance

1. ODs may take one of the following actions to ensure that MDs assigned to them are in compliance:
 - (a) Revise the MD using the standard or expedited process, described in Sections V and VI of this handbook.
 - (b) Certify the accuracy and currency of the MD using the expedited certification process for unrevised MDs, described in Section IX of this handbook.
2. 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) All interim policy documents are incorporated in the MD.
 - (c) All significant comments have been addressed.
2. If an office intends to certify and reissue an MD rather than revise it, the following requirements must be met:
 - (a) The impending certification must be announced to the reviewing offices at least 30 days in advance, including notification that failure of the reviewing offices to comment by the due date may be treated as tacit concurrence.
 - (b) Substantive comments from the reviewing offices are noted and addressed when a certification request is sent to ADM.
 - (c) Reviewing offices have provided required input, including a statement from OGC as to whether the MD is considered a rule under the CRA.
 - (d) Certification must be approved by ADM.

B. Approval of Staff Review

The OD signs the NRC Form 520, "Certification of Staff Review and Office Issuance for an NRC Management Directive," to affirm that the staff review is completed and that the office elects one of the following—

1. Certifies the MD is current without revision.
2. Certifies the MD is current with routine, administrative changes and may be reissued in alignment with Section VI of this handbook.
3. Commits to an MD issuance date as noted on the NRC Form 520.

C. Denial of 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 substantive revision may be required, ADM will discuss the revision with the responsible office. If, based on this discussion, ADM and the responsible office determine that substantive revision is required, ADM will deny the expedited certification and return the MD to the responsible office 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 an NRC Form 521 and signed by the OD. Requests for elimination of an MD must be accompanied by a memorandum explaining the rationale for eliminating the MD.
2. While the request for MD elimination is processed, the current MD remains in effect.
3. OIG, OGC, and ADM 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. This memorandum can be in the form of a comment request memorandum.
 - (ii) A copy of the MD proposed 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 DAET

The originating office submits the following to DAET:

- (a) A completed NRC Form 521 signed by the OD,
- (b) A copy of the MD proposed 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.

4. **Step Four:** DAET Creates the Signature Package Coordinates Review and Approval

- (a) DAET coordinates review by OGC, OIG, and any other required offices and creates the signature package.
- (b) Final approval of the request to eliminate an MD occurs when all approving officials/offices have agreed to the elimination and the final signature authority has signed the NRC Form 522.
- (c) 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.

5. **Step Five:** DAET Updates Web Sites to Reflect MD Elimination and Sends an NRC Announcement to Staff

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

- (a) DAET will mark the title of an eliminated MD as "ELIMINATED" on the agency's internal and external Web sites.
- (b) DAET will withdraw the eliminated MD number and will not reuse it.
- (c) DAET 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 NRC MANUAL CHAPTERS

A. Conversion of NRC Manual Chapters Required

1. Each NRC manual chapter must be converted to an MD or eliminated. Manual chapters to be eliminated follow the MD elimination process described in Section X, "Elimination of MDs," of this handbook.
2. ODs are responsible for ensuring the conversion of all manual chapters under their 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, and
 - (b) Policy changes communicated through yellow announcements, etc., since the issuance of the manual chapter.
3. The originating office forwards the converted document to DAET. 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. GLOSSARY

Approval Date

1. The date that the final approving authority concurs on the document.
2. The approval date is the date that the management directive (MD) becomes effective.

Certification Date

1. Typically, an MD should be revised within 8 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. The date of this certification becomes the new approval date for the MD.
2. Certification must be approved by the Office of Administration (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.

Comments

Express concerns, provide suggestions, or indicate the need for further discussion.

Comment Resolution Document

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

Date Published

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

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.

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.

Originating Office

The office that owns the content of the MD. The originating office creates or revises the MD.

Primary Contact Person

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

Reviewer

Carefully reads and analyzes both the content and the formatting of an MD. Reviewers forward comments or objections to the primary contact person.

Revised MD

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

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.

Signature Date

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."

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 DAET 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 665, "NRC Form 665 - ADAMS Document Submission"; 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.

Substantive Changes

1. Any changes that qualify in any respect for approval by the Chairman or review by the Commission.
2. Sections III.A and III.B of this directive describe the roles of the Chairman and the Commission regarding major policy issues and significant policy changes.