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	U. S. DEPARTMENT OF THE INTERIOR **OFFICE OF SURFACE MINING** **RECLAMATION AND ENFORCEMENT** **DIRECTIVES SYSTEM**	**Subject Number:** OPM-I **Transmittal Number:** 276 **Date:** 09/12/86

Subject: Establishment of Office of Surface Mining Reclamation and Enforcement Directive System

Approval: Jed D. Christensen | **Title:**

1. Purpose. This directive provides guidance to all Office of Surface Mining Reclamation and Enforcement (OSMRE) employees in the preparation, clearance and issuance of permanent and temporary directives.

2. Definitions.

a. Permanent Directive. Policy, guidelines or procedures which establish or implement agency programs and provide direction and guidance to Headquarters, Administrative Service Centers and Field Offices in achieving program objectives.

b. Temporary Directive. Policy, guidelines or procedures which establishes or implements agency programs on a short term basis. These Directives expire one year from date of issuance, however, they may be extended in writing for a second year with the approval of the appropriate Deputy Director.

c. Field Directives. Guidelines or procedures which supplement existing directives and sections to clarify differences in policy, of a discretionary nature, between the Assistant Directors East and West, Field Offices and Headquarters.

3. Policy/Procedure.

a. Concept. The OSMRE Directive System provides a means for the issuance of policy and procedures applicable to one or more elements of the organization. It is the only medium used to promulgate official policy and procedures to all OSMRE personnel. Handbooks and operating manuals are integral parts of the OSMRE Directives System. Such documents shall be issued as appendices to directives and are subject to the clearance and approval procedures outlined below.

b. Responsibilities.

(1) The Director will sign all OSMRE permanent and temporary directives.

(2) Deputy Directors are responsible for final review and approval of permanent and temporary directives in their respective areas of responsibility prior to forwarding for the Director's signature.

(3) Assistant Directors are responsible for drafting, developing and updating those directives which pertain to their program areas. They are also responsible for review and approval of directives in their respective areas of responsibility prior to forwarding for the Deputy Director's review. They are also responsible for assuring that any written policy or procedural guidance is prepared in accordance with this Directive. All permanent directives will be reviewed annually by the Assistant Directors to assure currency and accuracy.

(4) Chief, Division of Management Services is responsible for developing, implementing, and administering the overall directives system, and for reviewing operation of the system throughout OSMRE. The Issuance Coordinator on the staff of the Division of Management Services shall be responsible for the internal review process for all draft issuances. The Chief is also responsible for duplicating and distributing all directives to all OSMRE offices and employees and for maintaining a current distribution list for all Directives.

(5) Assistant Directors, and Field Office Directors are responsible for insuring compliance with all OSMRE directives and supplementing Headquarters issuances to provide procedural guidance within their office when unique or discretionary clarification is needed for implementation. In addition, Assistant Directors, Chiefs, Administrative Service Centers and Field Office Directors are responsible for distribution to all affected OSMRE personnel.

(6) Originators. Originators will assure that the directive does not (a) contradict existing policy or directives from higher organizational levels, or (b) unnecessarily repeat policy, procedures or guidance already adopted and published.

c. Procedures

(1) Preparation. Any organization within OSMRE that determines the need for a directive may initiate one. A draft of the proposed directive will be prepared in the approved format, approved by the head of organization (Division Chief or equivalent) and forwarded to the Issuance Coordinator, Division of Management Services. Originators must use word processing equipment in the drafting and subsequent stages of the directive development.

(2) Review of Draft Issuances. The Issuance Coordinator, Division of Management Services will be responsible for obtaining comments on the draft from the required reviewers. Reviews will be conducted simultaneously among all reviewers. Reviewers will be given a maximum of 10 working days to review and respond. Non-responses will be considered as agreement with the draft material as written. Late responses will only be considered if a comment period extension is sought from the Issuance Coordinator, Division of Management Services and granted.

When comments have been received from reviewers they will be forwarded to the originator for consolidation, review and disposition. The Issuance Coordinator shall determine the specific reviewers for each draft depending on its content.

(3) Preparation of Final Issuances. The originator, after review and disposition of all comments, will prepare a final version of the issuance. The final issuance package will be forwarded to the Issuance Coordinator and will at a minimum contain:

- a final version of the issuance in the approved format;

- a surname copy of the final issuance

- a summary of all significant comments received on the draft with the specific disposition of each significant comment including reasons for the comments acceptance or rejection;

- copies of all comments received on the draft issuance.

The Issuance Coordinator will manage the surname process assuring that all appropriate surnames have been received. Based on content, the Issuance Coordinator will determine if the surnames of both Deputy Directors are required. After the surname of the appropriate Deputy Director (or both Deputy Directors) has been obtained, the Issuance Coordinator will forward the issuance package to the Director for review and signature.

If the Issuance Coordinator is unable to obtain surnames from any reviewer, the matter will be brought to the attention of the appropriate Deputy Director for resolution.

The entire process from receipt of the final issuance package by the Issuance Coordinator to signature by the Director will not exceed 30 calender days. Expedited treatment (two weeks) can be obtained if necessary.

(4) Issuances Subject to the Review Process. All permanent and temporary directives are subject to the process detailed above. The Assistant Directors, Eastern and Western Operations shall establish their own processes for the review and issuance of field directives. A copy of all issued field directives shall be forwarded to the Issuance Coordinator, Management Services Division within 15 days of publication.

(5) Permanent Directive Format. The components of OSMRE permanent directives will be uniform and will be prepared on the form provided (See Appendix 1). The format consists of the heading, text, and any appendices/attachments.

(a) Heading consists of the following parts:

1. Logo is preprinted on form.

2. Subject Number assigned by the Division of Management Services in accordance with Appendix 2.

3. Transmittal Number assigned by the Division of Management Services, Issuance Coordinator and serves as an indicator of continuity to the users and is assigned to each directive chronologically. A log should be kept of the transmittal by all users to insure an up-to-date System. (See Appendix 3).

4. Date is the date of issuance, or the effective date, whichever is later.

5. Subject should be brief and descriptive of the content.

6. Approval will be the signature and title of the Director.

(b) Text. The body of the directive should contain the following parts.

1. Purpose. The purpose should be stated in the opening paragraph and should summarize the subject matter of the directive. This paragraph should also delineate the scope of applicability if it is not OSMRE-wide.

2. Definitions. This section provides the originator the opportunity to define words or phrases used in the body of the text which may require clarification. If there are no definitions to be defined, the word "none" will be placed immediately following the paragraph heading.

3. Policy/Procedures. This section will contain other parts of the instruction (i.e., responsibilities, procedures, etc.) sufficient to convey the intent of the directive to the users. The directive should be clear and concise. Subparagraphing will be accomplished as shown in Appendix 1.

4. Reporting Requirements. This section is reserved for a listing of any reporting requirements established by the directive. It enables the users to readily identify any reporting requirements without having to search the entire document to locate them.

5. References. This section may be used to cite policy, procedures, etc., that are already in existence in other media. Clear cross-references should be made to such material if it is generally known and readily available. Otherwise, pertinent sections should be attached as an appendix. All citations should enable the user to readily locate and consult applicable references.

6. Effect on Other Documents. This section should be used to indicate if the directive supersedes another on the same subject or consolidates two or more existing directives into a single revision.

7. Contact. This section identifies the contact point for any questions on the content of the directive. It consists of the organizational unit and telephone number of the person most familiar with the content of the directive (i.e., the originator).

(c) Temporary Directives. Procedure and guidance of short term duration will be issued in memorandum format as temporary directives (Appendix 6). Temporary Directives will be numbered sequentially by fiscal year (e.g., 86-1). The number assignment will be determined and entered on the temporary directive by the Issuance Coordinator. Routing procedures are outlined in Paragraph 3c.

(d) Field Directives. The Directive System is intended to include policy, procedures and guidance which have general application, obviating the need for separate directives systems in the field. It only should be necessary to issue supplements to existing directives and sections to clarify differences in policy, of a discretionary nature, between the Assistant Directors, East/West and the Field Offices. The field directive supplement will utilize the same format and procedures as permanent directives, except they will be identified by a "F" preceding the subject number of the directive they are supplementing. They will also be identified by the title "FIELD OFFICE XX SUPPLEMENT", Assistant Director, Program Operation XX Supplement or "ADMINISTRATIVE SERVICE CENTER XX SUPPLEMENT" below the approval and title blocks (See Appendix 4). Administrative Service Centers and/or Field Offices will forward five (5) copies of each supplement issued to the Issuance Coordinator, Division of Management Services. Field Directive supplements to permanent directives issued with a * as part of the Directive Number require concurrance by the appropriate Deputy Director before issuance in the Field.

(6) Amendment, Cancellation, or Expiration. Directives that have obsolete material and require substantive change will be amended by issuing a new directive. The same subject number should be used in order to avoid confusion. When minor changes (typographical errors, word placement, or sentence rewording) are needed, a Change Notice (Appendix 5) will be issued reflecting the corrections. When a directive is cancelled, a Change Notice will be issued stating the notice of cancellation. Cancellation authority will remain the same as issuing authority, and will be implemented by a request for cancellation initiated by the reviewing official and signed by the Director. In the event that a number of directives are cancelled at the same time, a single Change Notice will be issued. Temporary directives will expire on the date stated on the memorandum, unless extended in writing for a maximum of an additional year by the appropriate Deputy Director.

(7) Control. The Issuance Coordinator, Division of Management Services is responsible for: (1) coordinating review of draft directives; (2) assigning numbers; (3) logging and maintaining a historical file of directives and related background material; (4) issuing, on a semi-annual basis, a current listing of all directives. The Issuance Coordinator is the source of guidance and assistance to all elements of OSMRE in the preparation of directives. If no response is received from the reviewing office within 30 days, the Issuance Coordinator will assume that the Directive is obsolete and delete it.

(8) Review. Annually, on its anniversary date, each directive will be administratively reviewed by the Division of Management Services and referred to the originating office for a determination that the directive continues to be valid. Those directives that require updating will be revised; by the originating office; those deemed obsolete will be cancelled.

(9) Distribution/Retention. All directives issued by OSMRE Headquarters will be distributed to and retained by the following offices:

Director
- Deputy Directors
- Special Assistant to the Director
- Congressional Liaison
- Public Affairs
- Equal Employment Opportunity
- Regulatory Development and Issues Management
- Program Evaluation
- External Affairs

Assistant Directors
- Divisions
- Branches

Field Office Directors

Assistant Directors East/West, Administrative Service Centers
- Divisions

Associate Solicitor, OSMRE
- Field Solicitors

Each above mentioned office will assign a member of its staff to maintain a complete file of all directives.

4. Reporting Requirements. None

5. References.

   a. DOI Departmental Manual, Part 116
   b. FPMR 11.3, Communicating Policy and Procedures

6. Effect on Other Documents. Supersedes Temporary Directive OPM-1, Transmittal Number 245, dated July 31, 1985, as changed.

7. Effective Date. Upon Issuance.

8. Contact. Division of Management Services, (202) 343-6315.

9. Recission and Cancellation

The use of the policy memorandum as an OSMRE issuance for policy and procedural purposes is rescinded.

Attachment

INSTRUCTION

THE FRONT PAGE OF EACH DIRECTIVE WILL BE TYPED ON THIS PRINTED DIRECTIVES FORM. SUBSEQUENT PAGES SHOULD BE TYPED ON PLAIN 8½ x 11 INCH SHEETS (AS THE SECOND PAGE OF THIS APPENDIX). KEEP IN MIND, THAT THE DIRECTIVES WILL BE MAINTAINED IN 3-RING NOTEBOOKS.

MAJOR PARAGRAPHS SHOULD BE NUMBERED WITH ARABIC NUMERALS AND BEGIN FLUSH WITH THE MARGIN. THE HEADING SHOULD BE CAPITALIZED AND UNDERLINED. PARAGRAPH TITLES WILL BE USED FOR ALL MAJOR PARAGRAPHS AND MAY BE USED FOR SUBPARAGRAPHS IF ONE SUBPARAGRAPH IS TITLES, TITLES MUST BE INCLUDED FOR OTHER SUBPARAGRAPHS OF THE SAME SUBDIVISION.

PARAGRAPHS WILL BE NUMBERED CONSECUTIVELY THROUGHOUT THE TEXT. IF A PARAGRAPH IS SUBDIVIDED, IT MUST HAVE AT LEAST TWO SUBDIVISIONS. PARAGRAPHS WILL BE INDENTED AS SHOWN IN THIS APPENDIX.

THE SEQUENCE OF PARAGRAPHS IN THE POLICY/PROCEDURES OF THE DIRECTIVE IS AT THE DISCRETION OF THE ORIGINATING OFFICE WITH THE EXCEPTION OF THOSE INSTRUCTIONS INCLUDED IN THIS APPENDIX.

SAMPLE

U. S. DEPARTMENT OF THE INTERIOR
OFFICE OF SURFACE MINING
RECLAMATION AND ENFORCEMENT
DIRECTIVES SYSTEM

Subject Number:
Transmittal Number:
Date:

Subject:

Approval: Title:

1. PURPOSE. .....

2. DEFINITIONS.
   a. Appropriate Heading. .....
   b. Appropriate Heading. .....

3. POLICY/PROCEDURES.
   a. Appropriate Heading. .....
   b. Appropriate Heading. .....
      (1) Appropriate Heading .....
      (2) Appropriate Heading. .....
         (a) Appropriate Heading. .....
         (b) Appropriate Heading. .....
         (c) Appropriate Heading. .....

THIS REFERENCE REPRESENTS THE LOCATION IN THE PARAGRAPHING SCHEME THAT THIS PAGE SEQUENCES. THIS REFERENCE WILL BE PLACED IN THE UPPER LEFT HAND CORNER OF EVERY CONSECUTIVE PAGE AFTER THE FIRST. (IN THIS SAMPLE THE NUMBER REPRESENTS: PARAGRAPH 3., SUBPARAGRAPH (b)., SUBPARAGRAPH (2), SUBPARAGRAPH (b) FROM THE PREVIOUS PAGE).

3.b.(2)(b)1

OPM -107/1
06/25/84

THIS REFERENCE REPRESENT THAT THIS IS AN OSM DIRECTIVE, SUBJECT NUMBER OPM, TRANSMITTAL 107, AND THE DATE OF ISSUANCE. THIS REFERENCE WILL BE PLACED IN THE UPPER RIGHT CORNER OF ALL CONSECUTIVE PAGES AFTER THE FIRST.

2 Appropriate Heading... .....

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a Appropriate Heading. .....

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b Appropriate Heading. .....

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3 Appropriate Heading. .....

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(c) Appropriate Heading. .....

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EACH SUBORDINATE PARAGRAPH WILL BE INDENTED 5 SPACES FROM ITS PARENT PARAGRAPH. SUBSEQUENT LINES OF THAT PARAGRAPH WILL BE FLUSH WITH THE MARGIN.

SAMPLE

4. REPORTING REQUIREMENTS. None

5. REFERENCE.
   a. Appropriate Heading. .....
   b. Appropriate Heading. .....

6. EFFECTIVE ON OTHER DOCUMENTS. .....
   a. Appropriate Heading. .....
   .....
   b. Appropriate Heading. .....
   .....

7. EFFECTIVE DATE. .....

8. CONTACT.
   Office and Telephone Number .....

ALL PAGES FOLLOWING THE FIRST PAGES, WHICH ARE PRINTED ON PLAIN SHEETS, SHOULD HAVE A ONE INCH MARGIN ON LEFT SIDE TO PERMIT THE HOLES FOR THE 3-RING NOTEBOOK.

PAGE NUMBERING. THE FIRST PAGE WILL NOT BE NUMBERED. THE SECOND PAGE WILL BE NUMBERED -2- AND THE REMAINING PAGES NUMBERED CONSECUTIVELY THROUGHOUT THE TEXT AND APPENDICES, IF INCLUDED. PAGE NUMBERS WILL BE CENTERED AT THE BOTTOM OF EACH PAGE.

OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT
SUBJECT NUMBER
IDENTIFICATION AND CODE

Information Systems Management	ISM - X
Administrative Services	ADS - X
Abandoned Mine Lands	AML - X
Equal Employment Opportunity	EEO - X
Grants Management Program	GMT - X
Inspection and Enforcement	INE - X
Legislative and Legal Affairs General	LLG - X
Organization Planning and Management	OPM - X
Personnel	PER - X
Procurement and Contracting	PRC - X
Regulatory Program Development	REG - X
Training	TRN - X
Travel and Transportation	TRV - X
Collections and Assessment	CAA - X
Audit and Fee Compliance	AFC - X
Conference Officers Program	COP - X
Field Oversight	FO - X
Budget and Planning	BP - X
Financial Management	FM - X
Management Analysis	MA - X
Internal Control Review	ICR - X

APPENDIX 3

OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT
TRANSMITTAL NUMBER
CHECKLIST OF MATERIAL RECEIVED

Subject Number	Transmittal Number and Date		Date Received
PER-2	225	07/20/84	07/31/84

SAMPLE

Appendix 4

	U. S. DEPARTMENT OF THE INTERIOR OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT DIRECTIVES SYSTEM	Subject Number: F Transmittal Number: Date:

Subject:	
Approval:	Title:

FIELD XX SUPPLEMENT

SAMPLE

Appendix 5

	U· S· DEPARTMENT OF THE INTERIOR OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT DIRECTIVES SYSTEM	Subject Number: Transmittal Number: Date:

Subject:	
Approval:	Title:

SAMPLE

CHANGE NOTICE

Temporary Directive No: 86-1 **
Expires: (Date)

To: Managers and Supervisors

From: Director

Subject: Directive System

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** This number is obtained from the Issuance Coordinator.