

	U.S. DEPARTMENT OF THE INTERIOR OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT DIRECTIVES SYSTEM	Subject Code: OPM-1
		Transmittal Number: 984
		Date: 4-13-16
Subject: Establishment and Maintenance of the Office of Surface Mining Reclamation and Enforcement Directives System		
Approval: Joseph G. Pizarchik  Title: Director		

1. **Purpose.** The Office of Surface Mining Reclamation and Enforcement (OSMRE) Directive OPM-1 establishes the OSMRE Directives System which is used to document and convey bureau and office policies, procedures, and programs. Directive OPM-1 also establishes the process and procedures for maintaining the Directives System, for modifying or removing existing directives, and for adding new directives to the Directives System. When issued, this version of Directive OPM-1 supersedes the previous version issued August 20, 2008, and all subsequent Change Notices.

2. **Summary of Changes.**

- a. Commonly used terms have been identified and defined.
- b. Procedures have been established to mandate periodic content review of all directives.
- c. Several annexes have been created to ensure process uniformity.

3. **Policy.** Directives are to be organized systematically and readily available to users. They should provide users with only necessary information and be written in a clear, concise manner and in the simplest and most easily understood language for the intended audience. Only the OSMRE Director has the authority to issue, modify, or rescind a directive.

4. **Responsibilities.**

- a. Director. Responsible for signing all directives and change notices.
- b. Assistant Directors, Regional Directors, and Staff Office Heads (AD/RD/SOH). Responsible for developing and drafting the directives that pertain to their specific program areas. The AD/RD/SOH will:

- (1) Obtain approval from the Director to create a new directive, to change an existing directive (including appendices and annexes), or to rescind a directive;

- directive;
- (2) Create draft directives and supporting materials in accordance with this directive;
 - (3) Review and resolve comments to draft directives;
 - (4) Prepare final draft directives for the Director's signature;
 - (5) Ensure that, in accordance with this directive, electronic and paper copies of background materials are provided to the Directives Coordinator;
 - (6) Conduct and document an annual review of all directives within their program area and provide documentation to the Directive's Coordinator; and
 - (7) Review draft directives submitted by other AD/RD/SOH.

c. Assistant Director, Finance and Administration. Responsible for developing and maintaining the overall Directives System.

d. Chief, Division of Administration. Responsible for overseeing the operation of the Directives System and designating a Directives Coordinator.

e. Directives Coordinator. OSMRE's primary point of contact and subject matter expert for the Bureau's Directives System. Works with the Director's Office and AD/RD/SOH to develop, finalize, and disseminate new or revised directives.

f. Office of Communications. Maintains the publicly accessible OSMRE directives web page, which includes posting the most current electronic versions of each active directive and archiving rescinded, retired, or inactive directives.

5. **Procedures.** The following procedures will be used to prepare, process, review, revise, and rescind OSMRE directives.

a. The responsible AD/RD/SOH will seek the approval of the Director to initiate the requested action using the *Action Request* presented in Annex B. Once the Director's approval is obtained, the responsible AD/RD/SOH will prepare either a new directive in accordance with the *Directive Template* presented in Annex C or a change notice in accordance with the *Change Notice Template* presented in Annex D. Upon completion, all draft directive materials are provided to the Directives Coordinator.

b. The Directives Coordinator will review draft directive materials for accuracy and completeness. The Directives Coordinator will distribute draft directive materials to the appropriate reviewing AD/RD/SOH for a review period of no less than 15 working days. If the directive materials are unusually complex, the Directives Coordinator may extend the review period. If a Change Notice is used to address minor typographical updates, the Directives Coordinator and responsible AD/RD/SOH will determine if the approval process can proceed directly to paragraph 5. f.

c. The reviewing AD/RD/SOH will receive draft directive materials from the Directives Coordinator and perform a comprehensive review to ensure the materials are necessary, accurate, complete, without excessive detail, and do not conflict with other existing policies and procedures. The reviewing AD/RD/SOH will provide comments to the Directives Coordinator using the *Comment Form* presented in Annex E.

d. The Directives Coordinator will consolidate review comments and provide them to the responsible AD/RD/SOH for review and resolution.

e. The responsible AD/RD/SOH will receive consolidated comments from the Directives Coordinator and consider each comment for inclusion or exclusion in the draft directive materials. Final resolution of each comment will be annotated on the *Comment Form*. Rejected comments must be discussed with the commenter and supported with a reason for rejection, if concurrence has not been obtained. The responsible AD/RD/SOH will provide all updated draft directive materials including the resolved *Comment Form* to the Directives Coordinator.

f. The Directives Coordinator will receive final draft directive materials from the responsible AD/RD/SOH and package the final draft directive materials for review by the Director. Once signed by the Director, the Directives Coordinator will maintain the original signed directive and all supporting materials in the OSMRE directives file. The Directives Coordinator will also work with the OSMRE webmaster to ensure the final directive is posted in a timely manner to the OSMRE public web site.

g. AD/RD/SOH will review all directives within their program area and document the results using an *Affirmative Review* presented in Annex H. Completed *Affirmative Reviews* will be provided to, and maintained by, the Directive's Coordinator. Reviews should consider: organizational changes; legislative changes; impact to OSMRE delegations of authority (found in OSMRE Directive OPM-5); and the impact of other events influencing the continued applicability of a directive's content. The initial affirmative review for all OSMRE directives will be completed within one year of the issue date of this directive. Subsequent affirmative reviews will be completed every year thereafter.

6. **Reporting Requirements.** None.

7. **Effect on Other Documents.** When issued, this version of Directive OPM-1 supersedes the previous version issued August 20, 2008, and all subsequent Change Notices.

8. **References.**

a. Departmental Manual 381 DM 1.

b. <http://www.plainlanguage.gov>.

9. **Effective Date.** Upon signature.

10. **Distribution.** By electronic format. All OSMRE directives are publicly available at <http://www.osmre.gov/lrg/directives.shtm>.

11. **Appendices.** None.

12. **Annexes.**

- a. Annex A: Definitions.
- b. Annex B: Action Request.
- c. Annex C: Directive Template.
- d. Annex D: Change Notice Template.
- e. Annex E: Comment Form.
- f. Annex F: Subject Code Identification.
- g. Annex G: Process Flow Chart.
- h. Annex H: Affirmative Review.

Contact: Finance and Administration Directorate, Division of Administration, Directives Coordinator.

Annex A: Definitions

1. Affirmative Review. A mandatory and formal content review performed at least every five years on all OSMRE directives. The affirmative review is conducted by the responsible AD/RD/SOH. Results will be documented and will acknowledge that either the directive is acceptable or requires an update.
2. Annex. A supporting document that is related to, but independent of, the parent document. Annex changes representing a major modification to a directive must be approved by the Director in a directive Change Notice.
3. Appendix. A supporting document that is related to, and dependent upon, the parent document. Appendices present clarifying information (flow chart, acronym definitions, etc.). All changes must be approved by the Director using either a directive Change Notice or by publishing an updated Directive.
4. Change Notice. The mechanism to document: (1) minor changes (typographical errors, word placement, etc.) to an existing directive, annex, or appendix; (2) substantive changes to a small portion of an existing directive, annex, or appendix; or (3) rescission of an existing directive, annex, or appendix.¹ Typically, a Change Notice will not exceed two pages. The changes reflected will be included in the parent directive during the next update, if appropriate.
5. Directive. A written communication that provides policy, guidance, or direction. This governs action, conduct, or procedures. A directive may incorporate annexes or appendices.
6. Directives System. The mechanism to document and convey bureau and office policies, procedures, and programs. The Directives System, as of the date this directive is issued, consists of all active directives previously issued.
7. Transmittal Number. A sequential number assigned to every Directives System action by the Directives Coordinator.

¹ When proposing a major revision to an existing directive, annex, or appendix, a Change Notice will not be used. Instead, the proposed changes will be submitted in the form of an updated directive, annex, or appendix. When the update is issued, it will supersede the older version.

Annex B: Action Request

Purpose. This form will be initiated by the responsible AD/RD/SOH for the purpose of documenting the request, and OSMRE Director's approval, to initiate actions impacting OSMRE directives.

Maintenance. The original completed form will be maintained by the OSMRE Directives Coordinator.

Completed by the responsible AD/RD/SOH

I am seeking the Director's approval to establish a (select one):

- New Directive** (directive, annex, or appendix does not currently exist)
- New Directive** (major revision to an existing directive, annex, or appendix)
- Change Notice** (minor revision to an existing directive, annex, or appendix)
- Change Notice** (rescission of an existing directive, annex, or appendix)
- Other** (explain)

This request includes an attached narrative that provides:

- The OSMRE directive(s) impacted;
- A brief explanation of why this request is necessary;
- A summary of the change(s) being proposed;
- Which AD/RD/SOH element(s) will be required to review the proposed changes; and
- An assessment of the impact the proposal has on other OSMRE directives, policies, procedures, etc., if known.

Signature of AD/RD/SOH

Date

OSMRE Director's Decision

APPROVED


DISAPPROVED

Signature of OSMRE Director

Date

Director's Comments:

Annex C: Directive Template

	<p>U.S. DEPARTMENT OF THE INTERIOR OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT</p> <h1 style="margin: 0;">DIRECTIVES SYSTEM</h1>	Subject Code: <i>See Annex F</i>
	Transmittal Number: <i>Assigned by the Directives Coordinator</i>	
	Date: <i>Hand-written upon Director's signature</i>	
Subject: Subject of the Directive		
Approval: Typed name and signature of the OSMRE Director		Title: Director

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

2. **Summary of Changes.** If appropriate, simply state “This is a new directive.” Otherwise, this section is intended to serve as a “bridge” to the directive being replaced. It provides a brief abstract description of the changes since the last directive was published, if applicable. In addition, this section includes the reference to the paragraph(s) where the changes are included, if appropriate.

3. **Policy.** This section will convey the specific policy that the directive is being created to communicate.

4. **Responsibilities.** This section will contain the actions required by each party to develop the directive and implement the policy.

5. **Procedures.** This section will contain instructions sufficient to convey the intent of the directive to the reader. These instructions may include specific policies, procedures, and responsibilities by position. Detailed procedures should not be included in this section, but instead attached as an easy-to-use reference for the user.
 - a. **Margins/Justifications.** The borders will be one inch on the right, left, top, and bottom. Text will be left justified with a ragged right margin. Care should be taken to ensure there are no “widow” or “orphan” lines at the bottom or top of a page (one line of text separate from the rest of the paragraph).

 - b. **Headers.** Directives will not include information in the page header. The title of page one of each appendix and annex will be placed at the top of the document’s main body and will include the appendix or annex name exactly as it is displayed in the parent directive. Text of the title will be right justified. Subsequent pages of appendices and annexes will not include titles.

c. Page Numbering. Directives will not include information in the page footer. Directives will include page numbers centered on each page at the bottom of the document's main body. Numbering will begin on the second page with the number "2". Appendices and annexes will include page numbers centered on each page at the bottom of the document's main body. Numbering will begin on the first page with the appendix or annex letter and page number (C-1, C-2, etc.).

d. Tabs. All tabs will be standardized at one-half inch. Tabs will be used between line markers and line text. For example, there is a one-half inch tab between the line marker "c." and the line text "Tabs." in this section.

e. Type Size and Font. All OSMRE directives will be created in Times New Roman 12-point font, except where otherwise directed.

f. Punctuation and spacing. Each mark of punctuation within a sentence is followed by one space. Two spaces may follow a period ending a sentence; however, if used the practice should be consistent throughout the document.

g. Avoiding Bias. It can be difficult to prepare written materials without using language that can be read as biased. Adjusting how you use identifiers and other linguistic categories can improve the clarity of your writing and minimize the likelihood of offending your readers. Be aware of how word choice or terminology may come across to your reader. To avoid the bias of using gendered pronouns (she, her, he, his, etc.), consider: rephrasing the sentence; using plural pronouns such as "they" or "their"; replacing the pronoun with an article (use "the" instead of "his"); dropping the pronoun altogether; or replacing the pronoun with a noun such as "employee", "inspector", "visitor", etc.

h. Heading Levels. Major text headings will be bold faced and underlined. Subparagraphs may contain text that is either bold faced or underlined, but the use of either method to emphasize ideas should be consistent throughout the document in order to provide ease of transition between heading levels.

(1) AD/RD/SOH will make every effort to restrict headings to no more than three levels. For example, this sentence is in the third level: paragraph 5. h. (1).

6. **Reporting Requirements.** This section is reserved for a listing of any reporting requirements established by the directive. It enables the reader to readily identify all reporting requirements without having to search the entire document to locate them. If there are no requirements in the directive, "None" will be entered immediately following the paragraph heading.

7. **Effect on Other Documents.** This section will indicate if the directive supersedes another or consolidates two or more existing directives into a single version. It may also indicate sections of other directives the directive supersedes or impacts. If there are no effects on other directives, "None" will be entered immediately following the paragraph heading.

8. **References.** This section may be used to cite policy documents, procedure documents, or other documents that are already in existence. Clear cross-references should be made to such material if it is generally known and readily available. All citations should enable the reader to readily locate and consult applicable references. If there are no references, “None” will be entered immediately following the paragraph heading.

9. **Effective Date.** If the directive will become effective upon the Director’s signature, “Upon signature.” will be entered immediately following the paragraph heading. Otherwise, enter the effective date in long form (September 1, 2014).

10. **Distribution.** This section will contain information regarding the distribution. In most cases, the phrase “By electronic format. All OSMRE directives are publically available at <http://www.osmre.gov/lrg/directives.shtm>.” will be entered immediately following the paragraph heading.

11. **Appendices.** This section lists supporting documents that are related to, and dependent upon, the directive. Appendices present information to clarify what was presented in the directive (flow chart, acronym definitions, etc.). Appendices will be designated alphabetically. Formatting will be determined by the AD/RD/SOH and should attempt to follow the basic OSMRE directive format, but may be modified in a way more appropriate to communicate the information contained in the appendix. If there are no appendices, “None” will be entered immediately following the paragraph heading.

- a. Appendix A: Title of Appendix A.
- b. Appendix B: Title of Appendix B.
- c. Appendix C: Title of Appendix C.

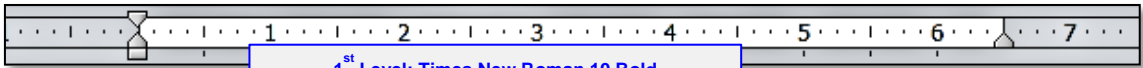
12. **Annexes.** This section lists supporting documents that are related to, but independent of, the directive. Annexes present information in addition to what was presented in the parent document (additional process flow chart, checklist, handbook, etc.). Annexes will be designated alphabetically. Formatting will be determined by the AD/RD/SOH and should attempt to follow the basic OSMRE directive format, but may be modified in a way more appropriate to communicate the information contained in the annex. If there are no annexes, “None” will be entered immediately following the paragraph heading.

- a. Annex A: Title of Annex A.
- b. Annex B: Title of Annex B.
- c. Annex C: Title of Annex C.

Contact: Provide the AD/RD/SOH and responsible office name. For example: “Finance and Administration Directorate, Division of Administration, Directives Coordinator.”

1" from the top; right justified;
Times New Roman 14 Bold

Annex C: Directive Template



1st Level: Times New Roman 10 Bold
2nd Level : Times New Roman 12 Bold
3rd Level: Times New Roman 22 Bold
If "CHANGE NOTICE" (see Annex D),
Times New Roman 28 Bold

1" Margins
(top and bottom)

Appendices and
Annexes use
appropriate
headers

Annex C: Directive Template

1.25"
Color
Logo



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

Subject Code:
See Annex F

Transmittal Number:
*Assigned by the
Directives Coordinator*

Date:
*Hand-written upon
Director's signature*

Times
New
Roman
10 Bold

Times
New
Roman
12
Bold

Subject: Subject of the Directive

Approval: Typed name and signature of the OSMRE Director **Title:** Director

Single
space
between
header
box and
first line
of text

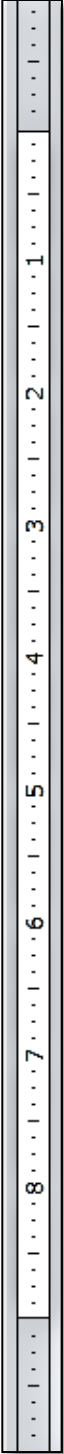
1. **Purpose.** The purpose of the directive should be stated in the opening paragraph and should summarize the subject matter of the directive. This section also delineates the scope of applicability, if it is not OSMRE-wide.
2. **Summary of Changes.** If appropriate, simply state "This is a new directive." Otherwise, this section is intended to serve as a "bridge" to the directive being replaced. It provides a brief abstract description of the changes since the last directive was published, if applicable. In addition, this section includes the reference to the paragraph(s) where the changes are included, if appropriate.
3. **Policy.** This section will convey the specific policy that the directive is being created to communicate.
4. **Responsibilities.** This section will contain the actions required by each party to develop the directive and implement the policy.
5. **Procedures.** This section will contain instructions sufficient to convey the intent of the directive to the reader. These instructions may include specific policies, procedures, and responsibilities by position. Detailed procedures should not be included in this section, but instead attached as an easy-to-use reference for the user.
 - a. **Margins/Justifications.** The borders will be one inch on the right, left, top, and bottom. Text will be left justified with a ragged right margin. Care should be taken to ensure there are no "widow" or "orphan" lines at the bottom or top of a page (one line of text separate from the rest of the paragraph).
 - b. **Headers.** Directives will not include information in the page header. The header of each appendix and annex page however will include the appendix or annex name exactly as it is displayed in the parent directive and text of the header will be right justified (e.g., each page of this document has been given the appropriate header "Annex C: Directive Template").
 - c. **Page Numbering.** Directives will include page numbers centered in the bottom footer of each page. Numbering will begin on the second page with the number "2".

All tabs
are 0.5"


All text is
Times New
Roman 12
and single
spaced
unless
otherwise
indicated

C-1

Appendices and Annexes
use appropriate page
numbers centered on the
page and 1" from the bottom



Annex D: Change Notice Template

	U.S. DEPARTMENT OF THE INTERIOR OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT DIRECTIVES SYSTEM	Subject Code: <i>See Annex F</i>
		Transmittal Number: <i>Assigned by the Directives Coordinator</i>
		Date: <i>Hand-written upon Director's signature</i>
Subject: Subject of the Directive		
Approval: Typed name and signature of the OSMRE Director		Title: Director
<h1 style="margin: 0;">CHANGE NOTICE</h1>		

1. **Purpose.** The purpose of the Change Notice is to document: (1) minor changes (typographical errors, word placement, etc.) to an existing directive, annex, or appendix; (2) substantive changes to a small portion of an existing directive, annex, or appendix; or (3) rescission of an existing directive, annex, or appendix. The specific purpose of each Change Notice will be stated in the opening paragraph. If the purpose is to rescind an existing directive, annex, or appendix, provide a brief summary of OSMRE's decision to rescind in this paragraph.

 2. **Summary of Changes.** This section will include the specific items in the parent directive addressed by this Change Notice. Include references to the directive's paragraph(s) that are being changed, if appropriate. If the purpose of the Change Notice is to rescind an existing directive, provide additional necessary information on OSMRE's decision to rescind in this paragraph, if appropriate.

 3. **Effect on Other Documents.** This section will indicate if the Change Notice supersedes or impacts other directives. If there are no effects on other directives, "None" will be entered immediately following the paragraph heading.

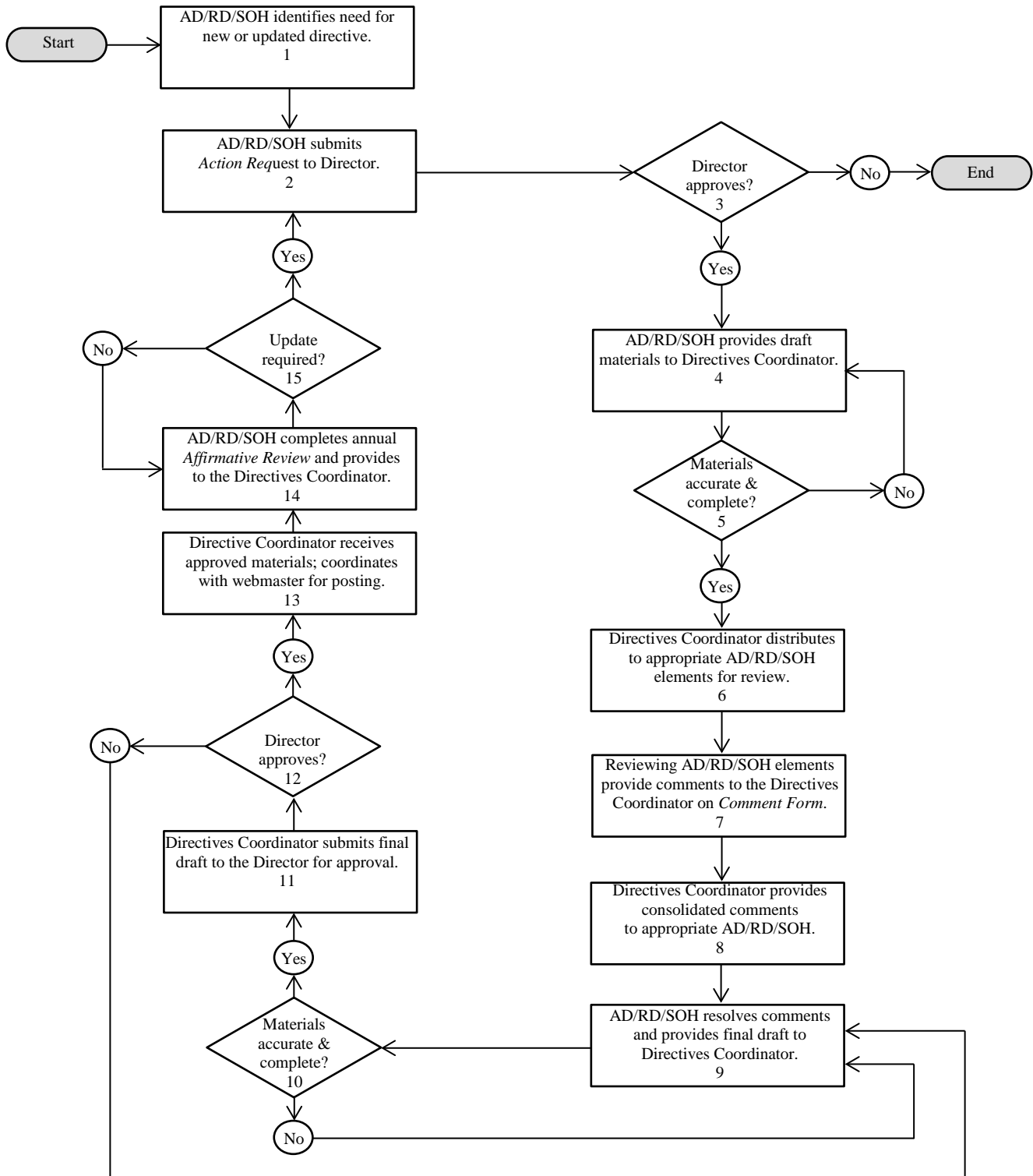
 4. **Effective Date.** If the Change Notice will become effective upon the Director's signature, "Upon signature." will be entered immediately following the paragraph heading. Otherwise, enter the effective date in long form (September 1, 2015).

 5. **Distribution.** This section will contain information regarding the distribution. In most cases, the phrase "By electronic format. All OSMRE directives are publically available at <http://www.osmre.gov/lrg/directives.shtm>." will be entered immediately following the paragraph heading.
- Contact:** Provide the AD/RD/SOH and responsible office name. For example: "Finance and Administration Directorate, Division of Administration, Directives Coordinator."

Annex F: Subject Code Identification

<u>Subject Code</u>	<u>Definition</u>	<u>Responsible AD/RD/SOH</u>
ADS	Administrative Services	Finance and Administration
AML	Abandoned Mine Lands	Program Support
BFM	Budget: Funds Management	Office of Planning, Analysis, and Budget
EEO	Equal Employment Opportunity	Office for Equal Opportunity
FIN	Financial Management	Finance and Administration
GMT	Grants Management Program	Program Support
INE	Inspection and Enforcement	Program Support
INF	Information Services and Program Promotion	Information Resources Office
IT	Information Technology	Information Resources Office
OPM	Organizational Planning and Management	Finance and Administration
PER	Personnel	Finance and Administration
PRC	Procurement and Contracting	Finance and Administration
REG	Regulatory Program Development	Program Support
STP	State and Tribal Programs	Program Support
TGR	Technical Guidance and Research	Program Support
TSR	Technical Services and Research	Program Support

OSMRE Directives Process



#	Process	Owner	Variation
1	AD/RD/SOH identifies a need for a new directive or update to an existing directive. Proceed to #2.	AD/RD/SOH	
2	AD/RD/SOH submits an <i>Action Request</i> form to the Director. Proceed to #3.	AD/RD/SOH	
3	Decision Point – Was the <i>Action Request</i> approved by the Director? If NO, process ends. If YES, proceed to #4.	AD/RD/SOH	
4	AD/RD/SOH provides draft directive materials to the Directives Coordinator.	AD/RD/SOH	
5	Decision Point – Are the draft directive materials accurate and complete? If NO, proceed to #4. If YES, proceed to #6.	Directives Coordinator	Depending on the scope of the update, the Directives Coordinator and the originating AD/RD/SOH will determine if it is appropriate to proceed to #6 or #10.
6	Directive Coordinator distributes draft directive materials to reviewing AD/RD/SOH elements for action.	Directives Coordinator	
7	Reviewing AD/RD/SOH elements provide comments to the Directives Coordinator using the <i>Comment Form</i> .	AD/RD/SOH	
8	Directives Coordinator provides consolidated comments to the originating AD/RD/SOH.	Directives Coordinator	
9	Originating AD/RD/SOH resolves comments and provides a final draft of directive materials to Directives Coordinator.	AD/RD/SOH	
10	Decision Point – Are the final draft directive materials accurate and complete? If NO, proceed to #9. If YES, proceed to #11.	Directives Coordinator	
11	Directives Coordinator submits the final draft package to the Director for approval.	Directives Coordinator	
12	Decision Point – Did the Director approve the final draft? If NO, proceed to #9. If YES, proceed to #13.	Directives Coordinator	
13	Directives Coordinator receives and files the approved directive materials and coordinates with the OSMRE webmaster for posting to the OSMRE public website.	Directives Coordinator and Webmaster	
14	AD/RD/SOH conducts an annual content review of all directives in their program area and provides an <i>Affirmative Review</i> form to the Directives Coordinator.	AD/RD/SOH	Directives Coordinator will provide review dates for all directives to the webmaster for inclusion on the OSMRE website.
15	Decision Point – Is an update required? If NO, proceed to #14. If YES, proceed to #2.	AD/RD/SOH and Webmaster	

Annex H: Affirmative Review

Purpose. This form will be initiated by the responsible AD/RD/SOH for the purpose of documenting the review of OSMRE directives in their purview in order to to determine if directives should be maintained, modified, or rescinded.

Maintenance. The original completed form will be maintained by the OSMRE Directives Coordinator.

Subject Code (ADS, INE, REG, etc.): _____.

Directive Numbers Reviewed: _____

_____.

Based on a comprehensive review of the directives identified above (including all appendices, annexes, and other attachments) completed on _____, I have made the following determination (select one): *(mm/dd/yyyy)*

- Directives Do Not Require Update** *(a subsequent Affirmative Review will be completed within one year)*
- Directives Do Require Update** *(an Action Request will be submitted seeking the Director's approval)*

Determination Approved By	
_____ Printed Name of AD/RD/SOH	
_____ Signature	_____ Date

Results Received By	
_____ Printed Name of Directives Coordinator	
_____ Signature	_____ Date