

NMFSI 30-101-01 SEPTEMBER 3, 2004

Department of Commerce § National Oceanic & Atmospheric Administration § National Marine Fisheries Service

***NATIONAL MARINE FISHERIES SERVICE INSTRUCTION 30-101-01
SEPTEMBER 3, 2004***

***Administration and Management
Policy Formulation, NMFSPD 30-101***

NMFS DIRECTIVES SYSTEM - STRUCTURE AND MANAGEMENT

NOTICE: This publication is available at: <http://www.nmfs.noaa.gov/directives/>.

OPR: F/P (J.McCallum)

Certified by: F/P (M. Holliday)

Type of Issuance: Revised and Renewed 2009

SUMMARY OF REVISIONS:

30-101-01 is revised to make the Office of Policy responsible for coordinating the review process for Office of Primary Responsibility (OPR) draft Policy Directive documents; and for coordinating AA review and approval of the final Policy Directive.

Signed _____

Mark C. Holliday, Ph.D.

Date

Director, NMFS Office of Policy

NMFS Directives System - Structure and Management

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1. <u>Introduction</u> . The National Oceanic and Atmospheric Administration’s (NOAA) National Marine Fisheries Service (NMFS) Policy Directive 30-101 establishes the NMFS Policy Directives System (PDS) for official NMFS policies. This instructional document (30-101-01) describes the PDS structure and management of policy formulation.	
2. <u>NMFS Policy Directives System Components</u> . The PDS consists of policy directives, procedural directives, and supplements.	
2.1 <u>Policy Directives</u> . The Assistant Administrator for Fisheries (AA) utilizes policy directives to initiate and define NMFS activities, as well as establish authorities and responsibilities. An agency “policy” specifically defines NMFS duties and responsibilities that	

must be followed without deviation. Appendix A provides detailed instructions on the format, content, and approval process for policy directives. The AA may at any time institute, revise, or rescind a policy directive.

2.2 Procedural Directives. Procedural directives implement policy directives. They are issued by NMFS Headquarters and are comprised of instructions and/or manuals. Procedural directives will not detract from or conflict with policy directives. Appendix B provides detailed instructions on the format, content, and approval process for procedural directives.

2.3 Supplements. Supplements adapt procedural directives to address field requirements. The NMFS Regional Offices, Science Centers, and field offices may issue supplements. Supplements will not detract from or conflict with procedural directives. Appendix C provides detailed instructions on the format, content, and approval process for supplements.

3. Organization and Management. The PDS is organized according to major functional areas (see Figure 1). Each functional area is assigned a series number. The PDS Web site (www.nmfs.noaa.gov/directives) is the primary means for accessing documents in the system. The official signed hard copy of each policy and procedural directive is filed within the Office of Policy (F/OP). The official hard copy of a supplement is filed at the issuing office.

Series # 01-29	Managing Marine Ecosystems	Series # 30-99	Administration & Internal Operations
01	Fisheries Management	30	Administration and Operations
02	Protected Resources Management	31	Financial Management and Budget
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04	Science and Technology	33	Planning
06	Law Enforcement	34	Facilities and Equipment
07	Seafood Inspection	35	Workplace Safety
08	International Affairs	36	Human Resources
		37	Staffing and Organization
		38	Equal Employment Opportunity
		39	External Relations

Figure 1. Organization of the PDS into Functional Areas

4. Development, Coordination, and Approval. All policy directives, procedural directives, and supplements will be developed, coordinated, and approved following instructions provided in Appendices A, B, and C. The office responsible for developing and coordinating a PDS component and guiding it through the primary approval process, with assistance from the OP in the final approval and implementation process, is known as the Office of Primary Responsibility (OPR).

5. Writing Style and Standardized Terminology. Use the active voice in all directives. Keep sentences simple and concise. Use the following terminology when writing a policy:

Will: The use of “will” indicates a definitive course of action. “Will” is used to convey high-level policy closely related to NMFS’ mission.

Use the following terminology when writing a procedure:

Should: The use of “should” indicates a recommended course of action.

May: The use of “may” indicates an optional or permissible practice.

The use of “shall” is not recommended.

6. Punctuation. For punctuation guidance, supplement the Federal Government’s official reference manual, the *Government Printing Office Style Manual*, with *The Gregg Reference Manual* and the *NMFS Correspondence Handbook*.

7. Use of Acronyms. Define an acronym the first time it is used. Place the acronym in parentheses after the word or phrase being defined. For example: the National Marine Fisheries Service (NMFS). Use only the acronym in the remainder of the document.

8. NOAA Corporate Name. Use the term “NOAA” as a precedent to NMFS the first time NMFS is mentioned in a directive. Spell out “NOAA” as “National Oceanic and Atmospheric Administration” the first time it is used. (See “1. Introduction” of this section for an example.)

9. PDS Postings - Notification to Senior Leadership. Senior leadership is notified automatically of any new posts to the PDS system via email.

10. Use of Hyperlinks. Be aware when using hyperlinks in directives that any reference from the NMFS Web server to any non-government entity, product, service, or information does not constitute an endorsement or recommendation of such by NOAA or any of its field offices or employees. NMFS is not responsible for the contents of any “off-site” Web sites referenced from NMFS servers. A disclaimer indicating this can be found on the bottom of the NMFS and PDS Web sites.

APPENDIX A - NMFS Policy Directives

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1. **Introduction.** NMFS Policy Directives System (PDS) policy directives are concise, highly structured documents. Policy directives define NMFS major activity areas, and their associated management authorities and responsibilities. An agency policy specifically defines NMFS duties and responsibilities that must be followed without deviation. Major activity areas recognize operational functions of NMFS (e.g., fisheries management) or important staff functions assigned to agency personnel (e.g., policy formulation). The signatory or approving authority for policy directives is the Assistant Administrator for Fisheries (AA).

2. **Format.** The format of the parent policy directive (NMFS PD 30-101) to this instructional document serves as the guiding example.

3. **Banner Page.** The first page of a policy directive consists of a banner with a blue heading followed by document information. The signature block is at the end of the main body of the policy directive. Figure A-1 depicts the banner format. The NMFS Policy Directive Template is located in the Toolkit of the PDS Web site at <http://reefshark.nmfs.noaa.gov/f/pds/publicsite/toolkit.cfm>.

Department of Commerce \$ National Oceanic & Atmospheric Administration \$ National Marine Fisheries Service	
(a.) NATIONAL MARINE FISHERIES SERVICE POLICY DIRECTIVE 30-101	
(b.) SEPTEMBER 3, 2004	
(c.) Administration and	
(d.) POLICY FORMULATION	
(e.) NOTICE: This publication is available at: http://www.nmfs.noaa.gov/directives/ .	
(f.) OPR: F/P (J.McCallum)	(h.) Certified by: F/P (M. Holliday)
(g.) Type of Issuance: Initial.	
(i.) SUMMARY OF REVISIONS:	

Figure A-1. Sample banner format for a policy directive

Fill in the banner with the directive system information as follows:

- a. **PDS Policy Directive Title and Number** - The title will consist of “NATIONAL MARINE FISHERIES SERVICE POLICY DIRECTIVE” followed by a space and the PDS number. The PDS number is a series number, followed by a dash, and a directive number beginning with 101 and continuing up to 999. For example, the title for the first policy directive in the “30” series is “NATIONAL MARINE FISHERIES SERVICE POLICY DIRECTIVE 30-101” (see Figure A-1). The Office of Policy (F/OP) assigns policy directive numbers using the instructions in Appendix D.
- b. **Effective Date** - Leave this blank until the policy directive is signed by the AA. The effective date is normally two weeks (14 calendar days) after the policy directive is signed (e.g., to allow time for implementation and/or training on a new policy directive).

In cases where the OPR desires the policy directive to become effective other than two weeks after signature, the OPR should include the rationale for the date as part of the background information accompanying the policy directive. The OPR should

also specify the desired effective date in relative terms (i.e., 90 days after the policy directive is signed).

- c. **Series Title** - Title of PDS series where the policy directive is found. Titles are found in Figure 1 in the main body of National Marine Fisheries Service Instruction (NMFSI) 30-101-01.
 - d. **Subject Title** - Name describing the activity area covered by the policy directive.
 - e. **Notice** - URL for the location of the document on the NMFS PDS Web site.
 - f. **Office of Primary Responsibility (OPR)** - Routing code for OPR responsible for the policy directive followed by name of the author in parenthesis (first initial and last name).
 - g. **Type of Issuance** - Term indicating the type of most recent issuance. Options are:
 - (1) Initial - first issuance of policy directive under the PDS.
 - (2) Renewal - annual update of the directive, no substantive changes in content.
 - (3) Revision – update or modification of the directive, coincident with annual certification or an unscheduled update issued outside the annual review period.
 - h. **Certified by** - Name of office director or designee. Use same format as described in Section 3(f).
 - i. **Summary of Revisions** - List all documents superseded by the policy directive. Include the full title, issuance number, and date of the documents being superseded. If the policy directive is a revision, summarize the substantive changes made from the previous version of the directive. If an initial issuance of a policy directive, this section should remain empty.
4. **Content.** Policy directives should be no more than three pages in length (including the references). Do not include a table of contents. Include sections with the information identified below.
- 4.1 **Introduction.** Provide a brief explanation of the need for the policy. Include a concise summary of the context, purpose, and scope of the policy.
 - 4.2 **Objective.** Provide a short descriptive statement explaining the policy as it is to be carried out by NMFS, answering the questions “What is the policy of NMFS in the subject area?” and “What is the intended outcome of the policy?”
 - 4.3 **Authorities and Responsibilities.** Begin with the words “This policy directive establishes the following authorities and responsibilities...” After that, use subsections to describe the role each NMFS level has in the activity area.

4.4 Measuring Effectiveness. Provide a brief description of the performance measures that will be used to determine whether the objective stated in Section 4.2 has been attained.

4.5 References. Select one of the following two options for including references. At the end of the policy directive, state:

1. “This policy directive is supported by the references and glossary of terms listed in Attachment 1.” Provide an attachment listing all procedural directives linked to the policy directive.

or

2. “Procedural directives will be issued to implement this policy as needed.”

Also, include a glossary for all policy-related terms used in the policy directive.

4.6 Signature and Date Line. The signature and date line begins beneath the last line of the policy directive narrative. Only the AA (or the acting AA) can sign a policy directive.

5. Development, Review, and Approval. OPRs at NMFS Headquarters will create and provide updates to policy directives. The AA will assign the lead for development, coordination, and approval to a single OPR. Depending on the nature of the policy, development of the document may occur entirely within the OPR, by an intra-agency workgroup, or by more than one office (including Science Centers and Regional Offices). All initial policy directives will pass through the coordination and review sequence described in subsections 5.1 through 5.4. The process for renewals and updates is described in Section 6.

5.1 Internal Review. The OPR sends a draft policy directive to the Office of Policy for initial review of format and content. Office of Policy sends the draft directive as early as possible but at least within one week for review by the NMFS Leadership Council and General Counsel for Fisheries (GCF), with copies to the deputies from each office and center. Reviewers are given at least 15 working days to e-mail comments on the draft version to the OP, OPR and to all other offices. Responses take two forms: acceptance, or acceptance with recommended changes. If a reviewer does not respond by the close of business on the due date, it is presumed that the reviewer accepts the policy directive as written. The OPR collects and evaluates the responses. If all responses indicate acceptance as written, the certifying official (office director or designee) certifies that the policy directive is ready for the AA clearance process. A routing/correspondence control sheet is required for AA approval of policy directives.

If consensus is not reached during the internal review, further coordination occurs as necessary and as time permits to produce a consensus version (see subsection 5.2 for dispute resolution).

5.2 Dispute Resolution. When responses from one or more offices indicate acceptance with recommended changes, the OPR has the option to prepare a revised version incorporating the changes. Disputes are resolved at the lowest possible level, and the OPR should seek to develop consensus when preparing a final version. However, the OPR is not obligated to indefinitely delay the policy directive implementation process until a consensus can be reached.

When one or more offices are known to still have a dissenting opinion, the OPR includes a point paper in the package to be submitted to the AA for final approval. This point paper identifies the dissenting party(ies) and the major area(s) of disagreement, and includes an explanation for the text ultimately recommended. As a courtesy, the OPR should share the point paper and the final version of policy directive with all other offices.

5.3 External Review. The OPR sends the certified policy directive, all comments received during the internal review, and if applicable, the point paper, for legal review for at least 15 days. The OPR incorporates changes from GCF, as appropriate.

If the policy directive is to be subject to public review and comment, the OPR coordinates this process and incorporates changes based on public comment, as appropriate. If substantial changes are made as a result of the public review, the OPR sends the modified policy directive to the Leadership Council and GCF. The process described in subsection 5.1 is conducted again.

5.4 Approval. The OPR prepares the approval package according to the instructions for assembling the policy directive file folder posted on the PDS Web site in the Toolkit at <http://reefshark.nmfs.noaa.gov/f/pds/publicsite/toolkit.cfm>. This package includes the policy directive, the responses received from all offices, and, if applicable, the point paper. F/OP reviews this package within five days for completeness of review. F/OP then forwards the directive to the AA. The AA considers comments, including dissenting comments, in deciding whether or not to approve the policy directive.

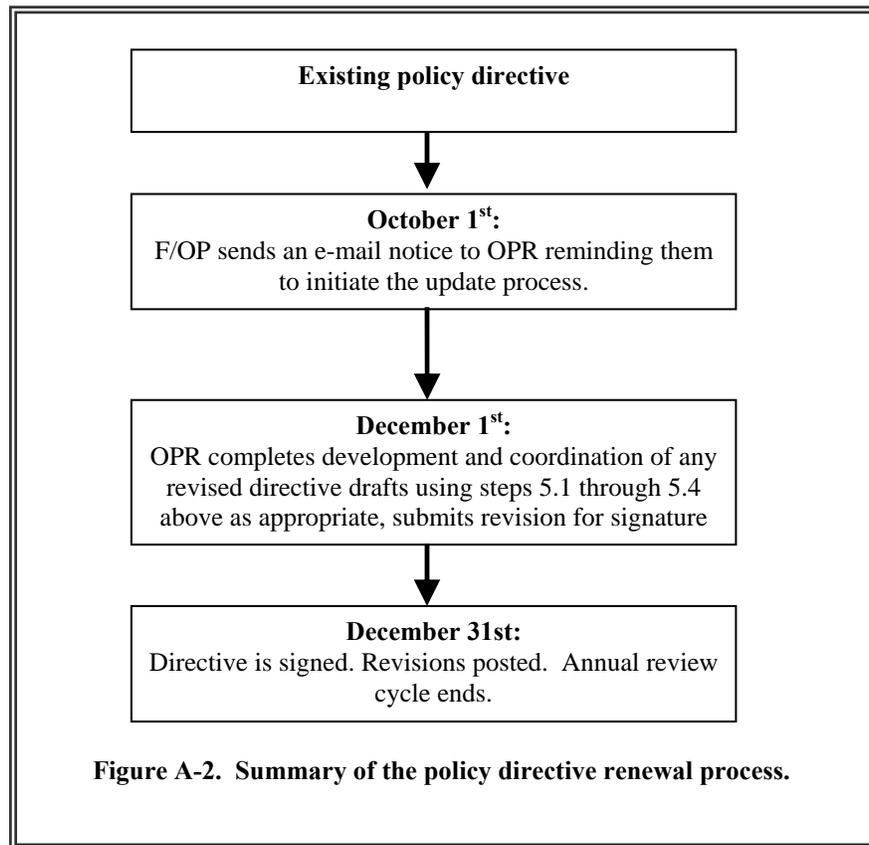
A policy directive becomes official when the AA (or the acting AA) signs the official hard copy. F/OP enters the effective date on the official hard copy, assigns the directive a number, and advises the OPR the directive has been signed. The F/OP then enters the effective date and directive number on the banner page and header of the electronic version. F/OP also enters the term “signed” and the date on the signature line, and converts the approved directive into a Portable Document Format (.pdf) file. F/OP posts the directive on the PDS Web site within three working days. F/OP maintains the signed hard copy of the policy directive, a copy of the routing/correspondence control sheet, and any other essential coordination documentation. Official signed copies are permanent Federal records and will be archived following NOAA and National Archives guidelines.

6. Issuance Types.

6.1 Initial. Each policy directive will have an initial issuance as outlined in Appendix A, subsections 5.1 through 5.4.

6.2 Renewal. Each policy directive will undergo an annual review. OPRs will initiate a 90-day review process for each policy directive under their purview starting October 1st of each calendar year, to be completed by December 31st. Policy directives that are issued during a calendar year need not be reviewed until the next calendar year. The OPR may also conduct an unscheduled update of a policy directive before the review date if circumstances warrant (for example, if the existing policy directive conflicts, competes, or is inconsistent with guidance in new legislation or regulations.) **(For the review cycle starting in late 2009, the following dates will be extended).**

The renewal process is summarized in Figure A-2 and described in subsections 6.2.1 and 6.2.2.



6.2.1 Recommendations for Update. At any time a NMFS Leadership Council member may request the OPR to make changes to the policy directive. The OPR decides whether to initiate an immediate review or defer until the annual review cycle.

6.2.2. Update Process. On October 1st F/OP sends a reminder notice to the OPR directing them to complete the update process before the end of the year. The OPR evaluates any update recommendations received from other offices that were not previously addressed. If no update recommendations were received and the OPR can not identify a need for revision, a policy directive may be renewed. The OPR provides documentation, signed by the certifying official (i.e., office director or designee) to F/OP by December 1st indicating the policy directive was reviewed and is current.

If update recommendations have been received by October 1st, or if the OPR identifies the need for a revision, then one of two situations occurs. In the first situation, the OPR will update the policy directive by December 1st. This includes coordination with other offices (subsection 5.1) as well as dispute resolution (subsection 5.2). The month of December is reserved for GCF coordination (subsection 5.3) and signature by the AA (subsection 5.4). The OPR should begin coordinating a first draft of the revision by the 10th working day in October. When the coordination process is finished the revised document with changes indicated in redline and strikeout is provided for GCF review. This is followed by the approval process outlined in subsection 5.4.

In the second situation, the OPR may recommend not to update a policy directive even when an office has requested a change if circumstances (e.g., legislative) dictate the need for it to remain unmodified. In this case, the unchanged policy directive, the comments received from other offices, and a statement from the OPR as to why the suggested change should not be incorporated are sent to GCF for review and then to the AA. The AA signs the certification memorandum in this case (rather than the Office Director).

In either case, the OPR may request in writing an extension from F/OP if a policy directive cannot be updated by the end of the annual review cycle. Such requests briefly state the reason additional time is needed and include a new completion date.

7. Recision. A policy directive will be rescinded when it is no longer needed. The procedures outlined in Section 5 should be followed for rescisions. Only the AA can rescind a policy, except in an emergency as described in subsection 7.1. The format for recision of a policy is located in the PDS Web site Toolkit at: <http://reefshark.nmfs.noaa.gov/f/pds/publicsite/toolkit.cfm>. When a policy is rescinded, the number assigned to the directive is retired and the directive is saved in an electronic archive. The archive allows the F/OP to document rescinded policies, and to retrieve, update, and reinstate them if necessary.

7.1 Emergency Recision. In an emergency situation, the OPR may immediately rescind a policy directive, and then notify NMFS Leadership Council, GCF, and F/OP of the recission. F/OP distributes an e-mail notification of recision to all PDS users and removes the policy from the PDS Web site.

APPENDIX B - NMFS Procedural Directives

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1. Introduction. Procedural directives provide instructions and guidelines required to carry out a major activity area. Procedural directives occur in two forms:

- a. Instructions - Instructions direct action, ensure compliance, and provide detailed procedures. Other unique types of documents fall under this classification:
 - i. Product specifications - assign responsibilities, define format, content, and issuance times of operational NMFS products (e.g., National Environmental Policy Act documents; Rulemakings; Biological Opinions; Recurring Reports (Business Reports, Program Reviews, Congressional Reports)).
 - ii. Memoranda of agreement (MOA) and memoranda of understanding (MOU) - considered to be special types of instructions. (See subsection 4.2)
 - iii. Operating Agreements - written terms of reference detailing the relationships and division of labor among two or more organizational entities within NMFS.

- b. Manuals - Manuals provide procedures used for performing standard tasks or supporting training and education programs.

The approving authority for a procedural directive is the director of the OPR.

2. Format. Use the *Checklist for Writing Directives* located in the PDS Web site Toolkit at: <http://reefshark.nmfs.noaa.gov/f/pds/publicsite/toolkit.cfm> for formatting the procedure.

3. Banner Page. The first page of an instruction or manual consists of a banner with a yellow background followed by document information and a signature block. Figure B-1 depicts the banner format. The NMFS Procedures Directive Template is located in the Toolkit of the PDS Web site at <http://reefshark.nmfs.noaa.gov/f/pds/publicsite/toolkit.cfm>.

Department of Commerce § National Oceanic & Atmospheric Administration § National Marine Fisheries Service	
(a.) NATIONAL MARINE FISHERIES SERVICE INSTRUCTION 30-101-01 (b.) SEPTEMBER 3, 2004	
(c.) Administration and Management (d.) Policy Formulation , NMFSPD 30-101	
(e.) NMFS DIRECTIVES SYSTEMS - STRUCTURE AND MANAGEMENT	
(f.) NOTICE: This publication is available at: http://www.nmfs.noaa.gov/directives/ .	
(g.) OPR: F/P (J. McCallum)	(i.) Certified by: F/P (M. Holliday)
(h.) Type of Issuance: Initial.	
(j.) SUMMARY OF REVISIONS:	
(k.) _____	
Mark C. Holliday, Ph.D. Director, NMFS Office of Policy	Date
Figure B-1. Sample banner format for a procedural directive.	

Fill in the banner with the directive information as follows:

- a. **PDS Procedural Directive Title and Number** - The title will consist of “NATIONAL MARINE FISHERIES SERVICE INSTRUCTION” or “NATIONAL MARINE FISHERIES SERVICE MANUAL” followed by a space and the PDS number. The PDS number is the policy number and an instruction or manual number beginning with 01 and continuing up to 99. For example, the title for the first instruction under the fourth policy

directive in the “30” series would be “NATIONAL MARINE FISHERIES SERVICE INSTRUCTION 30-104-01” (see Figure B-1).

Instructions and manuals should have different numbers. For example, an instruction and manual should not be identified as NMFSI 04-104-01 and NMFSM 04-104-01. They should be numbered differently (e.g., NMFSI 04-104-01 and NMFSM 04-104-02) to facilitate identification when using the electronic filing numbering system (see Appendix D).

The Office of Policy (F/OP) assigns procedural directive numbers using the instructions in Appendix D.

- b. **Effective Date** - Leave this blank until the procedure is signed. The effective date is normally two weeks (14 calendar days) after the procedure is signed by the approving authority (e.g., to allow time for implementation and/or training on a new procedure). In cases where the OPR desires the procedure to become effective other than two weeks after signature, the OPR should include the rationale for the date as part of the background information accompanying the procedure. The OPR should also specify the desired effective date in relative terms (i.e., 90 days after the procedure is signed).
- c. **Series Title** - Title of PDS series where the procedure is found. Titles are found in Figure 1 in the main body of National Marine Fisheries Service Instruction (NMFSI) 30-101-01.
- d. **Policy Directive** - Name and number of policy directive being implemented.
- e. **Subject Title** – Name describing the activity area covered by the procedure.
- f. **Notice** - URL for the location of the document on the NMFS PDS Web site.
- g. **Office of Primary Responsibility (OPR)** - Routing code for OPR responsible for the procedure followed by name of the author in parenthesis (first initial and last name).
- h. **Type of Issuance** - Term indicating type of most recent issuance. Options are:
 - (1) Initial - first issuance of the procedure under the PDS.
 - (2) Renewal - annual update of the procedure, no substantive changes in content.
 - (3) Revision – update or modification of the directive, coincident with annual certification or an unscheduled update issued outside the annual review period.
- i. **Certified by** - Name of office director or designee. Use same format as described in Section 3(g).
- j. **Summary of Revisions** - List of all documents superseded by the procedure. Include the full title, issuance number, and date of the documents being superseded. If the procedure is

a revision, summarize the substantive changes made from the previous version of the directive. If an initial issuance of a procedure, this section should remain empty.

4. Content. Follow the structure and content instructions outlined below. The body of the document should begin on a new page.

4.1 Structure. Place policy-oriented material to guide decisions and actions in the main body. Distribute more detailed “how-to” information into appendices.

4.2 Special Instructions for MOA/MOUs. MOA/MOUs referenced in or relevant to policy and procedural directives must be filed as procedural directives. The procedural directive includes a banner page followed by an introduction explaining the background of the document. Follow the introduction with a list of people who signed the memoranda and the entities they represent. Then include a copy of the MOA/MOU as an Appendix.

5. Development, Review, and Approval. OPRs at NMFS Headquarters will develop and update procedural directives. Depending on the nature of the procedural directive, development of the document may occur entirely within the OPR, by an intra-agency workgroup, or by more than one office (including Science Centers and Regional Offices). The lead for drafting the procedural directive may be assigned to a Science Center or Regional Office with extensive interest or expertise; however, the OPR associated with the parent policy retains responsibility for final coordination and approval of the procedural directive. With the exception of MOA/MOUs, all procedural directives will pass through the coordination and review process described in subsections 5.1 through 5.5. The process for renewing and updating procedural directives is described in Section 6.

5.1 Procedural Directive Review. The OPR sends a draft procedural directive to the Office of Policy for review of format and content. The Office of Policy sends the draft directive within five business days to the Directors of NMFS Headquarters Offices, Regional Offices, Science Centers and Office of General Counsel. Directors are given at least 15 working days to e-mail comments on the draft version to the OP, OPR and to all other offices. Responses take two forms: acceptance or acceptance with recommended changes. If a reviewer does not respond by the close of business on the due date, it is presumed that the reviewer accepts the procedural directive as written. The OPR collects and evaluates the responses. If all responses indicate acceptance as written, the certifying official (i.e., Office Director or designee) certifies the directive is ready for General Counsel for Fisheries (GCF) clearance. Otherwise, further coordination occurs as necessary and as time permits to produce a consensus version. A routing/correspondence control sheet is required for coordination of procedural directives.

5.2 Dispute Resolution. When responses from one or more offices indicate acceptance with recommended changes, the OPR has the option to prepare a revised version incorporating the changes. Disputes are resolved at the lowest possible level, and the OPR should seek to develop consensus when preparing a final version. However, the OPR is not obligated to indefinitely delay the procedure implementation process until a consensus can be reached.

When one or more offices are known to still have a dissenting opinion, the OPR includes a point paper in the package to be submitted for final approval. This point paper identifies the dissenting

party(ies) and the major area(s) of disagreement, and includes an explanation for the text ultimately used. The OPR should share the point paper and the final version of the procedure with all other offices.

5.3 General Counsel Clearance. The OPR sends to GCF the certified procedural directive, for legal clearance prior to Office Director signature. The package should include all comments received during the internal review, and if applicable, the point paper, The OPR incorporates changes from GCF, as appropriate.

5.4 External Review. If the procedural directive is to be subject to public review and comment, the OPR coordinates this process and incorporates changes based public comment, as appropriate. If substantial changes are made as a result of the public review, the OPR sends the modified procedural directive to the Leadership Council and GCF. The process described in subsection 5.1 is conducted again.

5.5 Approval. An approval package for signature by the OPR director is prepared according to the OPR's guidelines. This package includes the procedure and responses from all offices. The approving authority (i.e., office director or designee) considers comments, including dissenting comments, in deciding whether or not to approve the procedure. A procedural directive becomes official when the approving authority signs the official hard copy on the banner page. The directive enters into effect 14 days after signing.

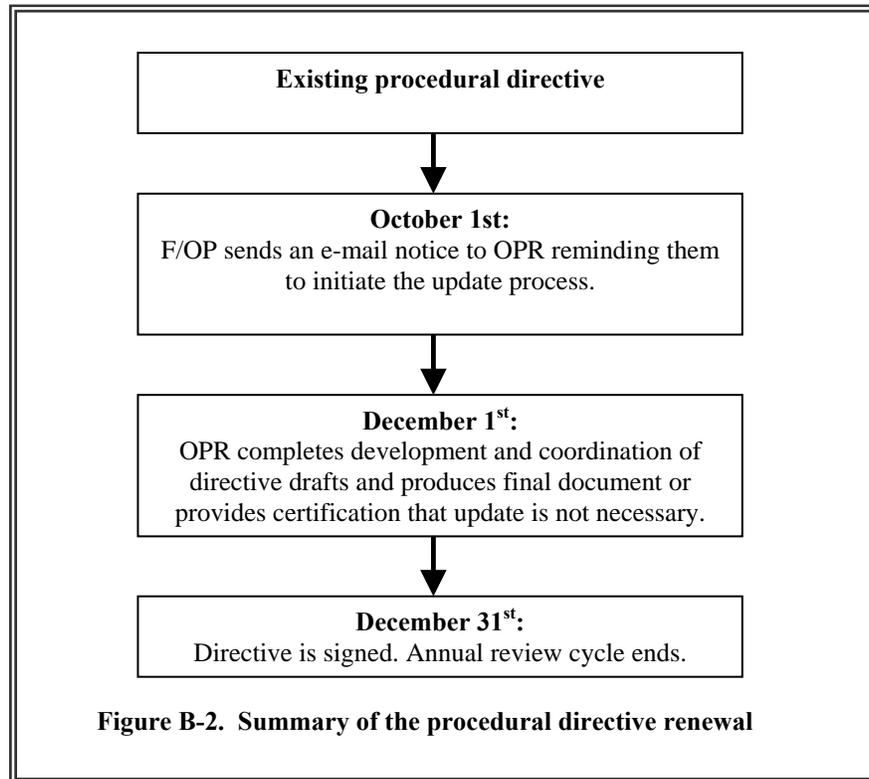
F/OP enters the effective date on the official hard copy and assigns a procedural directive number. The F/OP then enters the effective date, the term "signed" and the date on the signature line, and the assigned number on the banner page and header of the electronic version. The F/OP converts the approved procedural directive into a Portable Document Format (.pdf) file, and posts the procedure on the PDS Web site within three working days. F/OP maintains the signed hard copy of the procedural directive, a copy of the routing/correspondence control sheet, and any other essential coordination documentation. Official signed copies are permanent Federal records and will be archived in accordance to NOAA and National Archives guidelines.

6. Issuance Types.

6.1 Initial. Each procedural directive will have an initial issuance as outlined in Appendix B, subsections 5.1 through 5.5.

6.2 Renewal. Each procedural directive will undergo an annual review. OPRs will initiate a 90-day review process for each procedure under their purview starting October 1st of each calendar year, to be completed by December 31st. Procedures that are issued during a calendar year need not be reviewed until the next calendar year. The OPR may also conduct an unscheduled update of a procedure before the review date if circumstances warrant (for example, if the procedure conflicts, competes, or is inconsistent with guidance in new legislation or regulations.)

The renewal process is summarized in Figure B-2 and described in subsections 6.2.1 and 6.2.2.



6.2.1 Recommendations for Update. At any time management at another office may request the OPR to make changes to the procedure. The OPR decides whether to initiate an immediate review or defer until the annual review cycle.

6.2.2 Update Process. On October 1st F/OP sends a reminder notice to the OPR directing them to complete the update process before the end of the year. The OPR evaluates any update recommendations received from other offices that were not previously addressed. If no update recommendations were received and the OPR can not identify a need for revision, a procedure may be renewed. The OPR provides documentation, signed by the certifying official (i.e., office director or designee) to F/OP by December 1st indicating the procedure was reviewed and is current.

If update recommendations have been received by October 1st, or if the OPR identifies the need for an update, the OPR will update the procedure by December 1st. This includes coordination with other offices (subsection 5.1) as well as dispute resolution (subsection 5.2). The month of December is reserved for GCF clearance (subsection 5.3) and signature by the certifying official (subsection 5.5).

The OPR should begin coordinating a first draft of the revision by the 10th working day in October. When the coordination process is finished the revised document with changes indicated in redline and strikeout is provided for GCF clearance. This is followed by the final approval process outlined in subsection 5.5.

The OPR may request in writing an extension from F/OP if a procedure cannot be updated by the end of the annual review cycle. Such requests briefly state the reason additional time is needed and include a new completion date.

7. Rescission. The procedures outlined in Section 6 for updates may reveal a procedure is no longer relevant or needed, in which case it must be either revised or rescinded. Revisions should follow the procedures in Sections 5 and 6. A procedural directive will be rescinded when it is no longer needed. The following instructions should be followed for rescissions:

1. The Office of Primary Responsibility (OPR) sends the procedural directive, along with the memorandum to rescind (see below), to the Leadership Council and the Office of General Counsel. Directors have 10 working days to reply with any objections, with a copy to all other offices.
2. After this coordination with counterparts, the OPR sends F/OP the final memorandum signed by the OPR Director.
3. F/OP deletes the Procedure from the PDS and archives the file.
4. The original signed rescission memorandum and coordination documentation is filed in F/OP.

Only the approving authority for the procedure can rescind a procedural directive, except in an emergency situation as described in subsection 7.1. When a procedure is rescinded, the number assigned to the directive is retired and the directive is saved in an electronic archive. The archive allows the F/OP to document rescinded procedures, and to retrieve, update, and reinstate them if necessary.

7.1 Emergency Rescision. In an emergency situation, the OPR may immediately rescind a procedural directive and then notify NMFS Leadership Council, GCF, and F/OP of the rescision. F/OP distributes an e-mail notification of rescision to all PDS users and removes the procedure from the PDS Web site.

SAMPLE Rescission Memorandum

MEMORANDUM FOR: NMFS Leadership Council
Office of General Counsel

FROM: (AA or Acting, Ph.D. *or* Office Director
(Use appropriate letterhead)

SUBJECT: Rescission of (PDS Policy *or* Procedural Directive Number), (Directive Title)

The following document is rescinded from the PDS, effective 10 working days from the date of this memorandum.

PDS Title:

PDS Number:

Effective Date:

Signature Date:

Certified By:

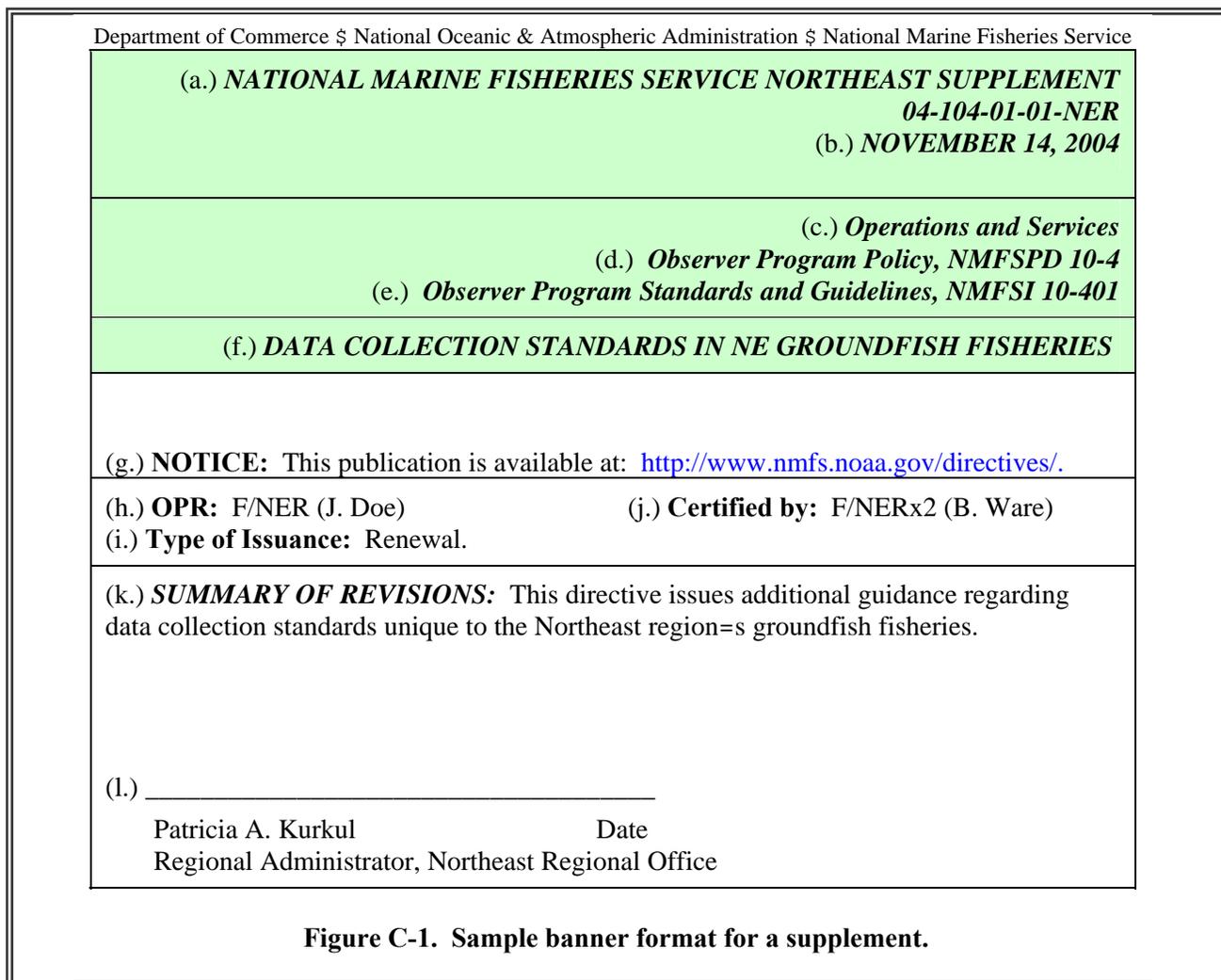
Approving Authority:

Summary: (Provide brief explanation for this action)

APPENDIX C - NMFS Supplements

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1. **Introduction.** Supplements provide guidelines needed to adapt procedural directives to specific issues addressed by NMFS Headquarters Offices, Regional Offices, Science Centers, or other field offices. The approving authority for supplements is the Office Director, Regional Administrator, or Science Director corresponding to these offices.
2. **Format.** Follow the general format guidelines in this section for all supplements.
 - 2.1 **Headers.** Include a header consisting of the PDS number and the supplement's effective date. The header text is bold and right justified. Suppress the header on the banner page. An example of a supplement header is: NMFSS 04-104-01-01-NER November 14, 2004. (See Section 3a for additional information on the supplement title and number.)
3. **Banner Page.** The first page of a supplement consists of a banner with a green background followed by document information and a signature block. Figure C-1 depicts the banner format. The NMFS Supplement Template is located in the Toolkit of the PDS Web site at <http://reefshark.nmfs.noaa.gov/f/pds/publicsite/toolkit.cfm>.



Fill in the banner with the directive information as follows:

- a. **PDS Supplement Title and Number** - The title will consist of “NATIONAL MARINE FISHERIES SERVICE<Region/Office Name>SUPPLEMENT. For example, the title for the third Northeast Region supplement during the year 2004 which supplements NMFSI 10-401 would be: “NATIONAL MARINE FISHERIES SERVICE NORTHEAST SUPPLEMENT.” The supplement number begins with the procedural directive number, followed by a dash and a two-digit designation for the number of the supplement, followed by another dash and a 3-character designation for the office sponsoring the supplement. For NMFS regions, use the three-letter abbreviation for the office designation B e.g., “NER” for Northeast Regional Office, “PIC” for Pacific Islands Science Center, etc.

Example: Northeast Region issues its first supplement applying to Instruction 04-104-01. The supplement number on the banner is:

NATIONAL MARINE FISHERIES SERVICE NORTHEAST SUPPLEMENT
04-104-01-01-NER

F/OP assigns supplement numbers using the instructions in Appendix D.

- b. **Effective Date** - Leave this blank until the supplement is signed. The effective date is normally two weeks after the supplement is signed by the approving authority (e.g., to allow time for implementation and/or training on a new supplement).

In cases where the OPR desires the supplement to become effective later than two weeks after signature, the OPR should include the rationale for the date as part of the background information accompanying the supplement. The OPR should also specify the desired effective date in relative terms (i.e., 90 days after the supplement is signed).

- c. **Series Title** - Title of PDS series where the supplement is found. Titles are found in Figure 1 in the main body of National Marine Fisheries Service Instruction (NMFSI) 30-101-01.
- d. **Policy Directive** - Name and number of the policy directive being implemented.
- e. **Procedural Directive** - Name and number of the procedural directive being supplemented.
- f. **Subject Title** - Name describing the supplement=s subject matter.
- g. **Notice** - URL for the location of the document on the NMFS PDS Web site.
- h. **Office of Primary Responsibility (OPR)** - Routing code for OPR responsible for the supplement followed by name of the author in parenthesis (first initial and last name).
- i. **Type of Issuance** - Term indicating type of most recent issuance. Options are:

- (1) Initial - first issuance of supplement under the PDS.
 - (2) Renewal - annual update of the supplement, no substantive changes in content.
 - (3) Revision – update or modification of the directive, coincident with annual certification or an unscheduled update issued outside the annual review period.
- j. **Certified by** - Name of manager of the organizational unit which developed the supplement. For a field office, this could be the same as the approving authority. Use the same format as described in Section 3(h).
- k. **Summary of Revisions** - List of all documents superseded by the supplement. Include the full title, issuance number, and date of the documents being superseded. If the supplement is a revision, summarize the substantive changes made from the previous version of the supplement. If an initial issuance of a supplement, this section should remain empty.
4. **Content.** Follow the structure and content instructions outlined in subsection 4.1 for the main body following the banner page. The body of the document should begin on a new page. The title of the document should be bold and centered immediately below the header.
- 4.1 **Table of Contents.** The table of contents for a supplement covers only the main body of the document. Provide a separate table of contents for each appendix (if any). The table of contents for the main body of the document should include a section entitled “Appendices” along with the title of each appendix.
- 4.2 **Structure.** Place policy-oriented material to guide decisions and actions in the main body. Distribute more detailed “how-to” information into appendices.
- 4.3 **Special Instructions for MOA/MOUs.** Memoranda of Agreement/Memoranda of Understanding (MOA/MOUs) referenced in or relevant to the supplement must be filed with the supplement.
5. **Development, Review, and Approval.** Regional Offices, Science Centers, and field offices are the OPRs which may develop supplements. Supplements are coordinated with other affected NMFS organizations (i.e., Headquarters Offices, Regional Offices, and Science Centers). The development and approval process of regional supplements is less formal than for policy and procedural directives. The supplement is sent for review to the OPR sponsoring the parent procedural directive. If the supplement is or could be relevant in other regions, then the draft supplement is sent to all counterpart offices for review. Reviewers are given at least 15 working days to e-mail comments to the OPR. If a reviewer does not respond by the close of business on the due date, it is presumed that they accept the supplement as written. The OPR collects and evaluates the responses.

If there is a potential for multiple offices to develop supplements that are inconsistent with one another, then this issue is raised to the OPR sponsoring the parent procedural directive. The OPR sponsoring the parent procedural directive has the final decision authority on matters of conflict with national policy and procedures, and in ensuring consistency across regions. The OPR may prepare a point paper identifying the dissenting party(ies), the major area(s) of disagreement, and

the reason(s) for the text ultimately used. As a courtesy, the OPR should share the final version of the supplement and if applicable the point paper with all other offices. No General Counsel of Fisheries (GCF) clearance is required. If the supplement is subject to public comment and/or review, the OPR coordinates this and incorporates changes as appropriate. If substantial changes are made as a result of the public review, the OPR sends the supplement to all counterpart offices for review.

A supplement becomes official when the approving authority signs the official hard copy on the banner page, and generally enters into effect two weeks after signing. On the electronic version of the document, the OPR enters the effective date on the banner page and header and the term “signed” and the date on the signature line. The OPR then provides an electronic copy as a Portable Document Format (.pdf) file to the Office of Policy (F/OP) for posting on the PDS Web site along with official notification that the supplement was signed.

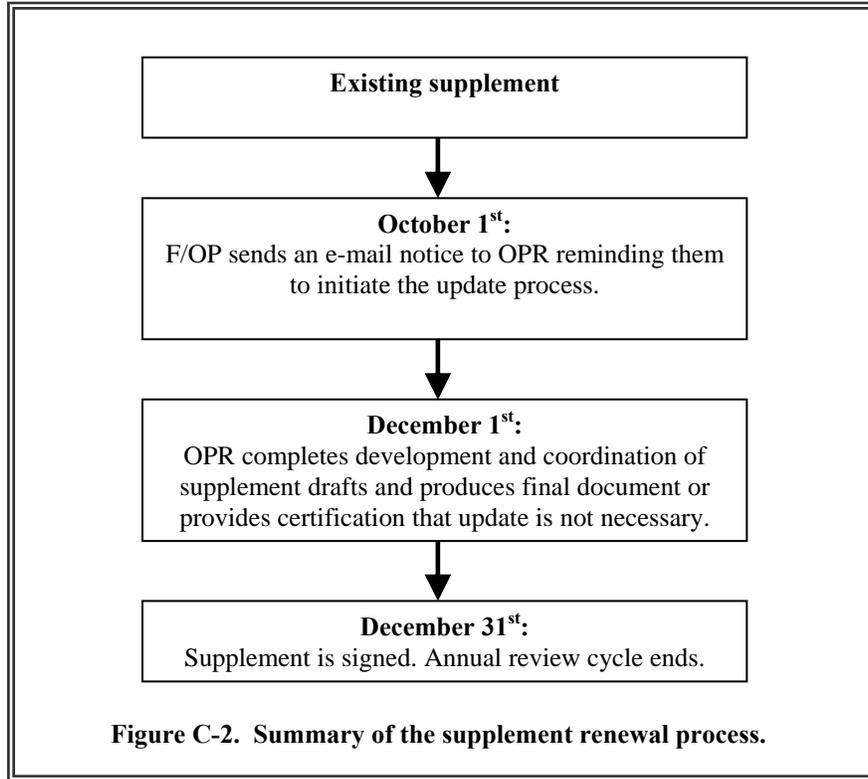
F/OP posts the supplement on the PDS Web site within five working days. The OPR maintains the signed hard copy of each supplement. Official signed copies are permanent Federal records and must be archived in accordance to NOAA and National Archives guidelines when no longer needed.

6. Issuance Types.

6.1 Initial. Each supplement will have an initial issuance as outlined in Appendix C, Section 5.

6.2 Renewal. Each supplement will undergo an annual review. The annual review process for supplements is specified by the OPR. The OPR may also conduct an update before the annual review if circumstances warrant (for example, if the supplement conflicts, competes, or is inconsistent with new legislation, regulations, or procedural directives). If the OPR decides not to update a supplement, the OPR provides documentation, signed by the supplement certifying official, to F/OP by December 1st indicating the supplement was reviewed and is current.

An example of the annual review cycle for supplements is provided in Figure C-2.



7. Recision. A supplement will be rescinded when it is no longer needed. The procedures outlined in Section 5 should be followed for rescisions. When a supplement is rescinded, the number assigned to the directive is retired and the directive is saved in an electronic archive. The archive allows the F/OP to document rescinded supplements, and to retrieve, update, and reinstate them if necessary.

7.1 Emergency Recision. In an emergency situation, the OPR may immediately rescind a supplement, and then notify NMFS Leadership Council, GCF, and F/OP of the recision. F/OP distributes an e-mail notification of recision to all PDS users and removes the supplement from the PDS Web site.

APPENDIX D - PDS Electronic Filing Numbering System

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1. Introduction. A file naming convention is required for file management and indexing. The file name is based on the PDS numbering scheme and is used to save, transmit, and post documents electronically. When a document is converted to a Portable Document File (.pdf) file following signature, it will be named using the method described in this Appendix before transmission to the Office of Policy (F/OP) for posting.

2. Responsibilities. F/OP is responsible for assigning appropriate file names using the directions provided in this Appendix.

3. File Name. The file names are based on the numbers used in the banners to identify the directive. Each file name begins with “pd” and ends in “.pdf.” The “pd” is followed by five numbers and one character for policies; eight numbers and one character for instructions and manuals; and a combination of 14 numbers and four characters for supplements. Use lower case letters for characters (e.g., pd, .pdf). When Adobe Acrobat is used to convert the file to .pdf, the file extension “.pdf.” is automatically assigned.

3.1 Policy Directives.

- a. The first and second numbers describe the functional area (01-99).
- b. The third, fourth and fifth numbers describe the policy directive number (101-999).
- c. All file names end with “.pdf.”

For example, the file name for NMFSPD 30-101 is 30-101.pdf

3.2 Procedural Directives.

- a. The first and second numbers describe the functional area (01-99).
- b. The third, fourth, and fifth numbers describe the policy directive number (101-999).
- c. The sixth and seventh numbers describe the procedural directive number (01-99).
- d. All file names end with “.pdf.”

For example, the file name for NMFSI 30-101-01 is 30-101-01.pdf

3.3 Supplements. Supplement file names identify the issuing Regional Office or Science Center and the supplement number.

- a. The first and second numbers describe the functional area (01-99).
- b. The third, fourth and fifth numbers describe the policy directive number (101-999).
- c. The sixth and seventh numbers describe the procedural directive number (01-99).

- d. The eighth and ninth numbers describe the supplement number (01-99).
- e. After the ninth number, the office identifier is added (e.g., “NER” for Northeast Regional Office, “SWC” for Southwest Science Center, etc.).
- f. All file names end with “.pdf.”

For example, the file name for NMFS NER Supplement applicable to NMFSI 30-101-01 is 30-101-01-01-NER.pdf

3.4 Examples.

File Naming Convention	Functional Area	Policy Number	Procedure (Manual or Instruction) Number	Supplement Number	Region Identifier (offices and centers)	.pdf
Characters/ Numbers	00 (01-99)	000 (101 - 999)	00 (001 - 99)	00 (01-99)	NER, NEC SER, SEC SWR, SWC PIR, PIC NWR, NWC AKR, AKC	.pdf
Example: NMFSPD 30-101	30	101				.pdf
Example: NMFSI 30-101-01	30	101	01			.pdf
Example: NMFS NER Supplement applicable to NMFSI 30-101-01	30	101	01	01	NER	.pdf