

# MANAGEMENT DIRECTIVE

## Commonwealth of Pennsylvania Governor's Office

<b>Subject:</b> Directives Management System	<b>Number:</b> 210.1 Amended
<b>Date:</b>  May 2, 2011	<b>By Direction of:</b>  Kelly Powell Logan, Secretary of Administration
<b>Contact Agency:</b> Office of Administration, Office of Enterprise Records Management, Telephone 717.783.5055	

**This directive establishes policy, responsibilities, and procedures for publication of issuances. Issuances published through the Directives Management System are listed in *Manual 210.3, Index of Issuances*, with the exception of administrative circulars, because they are one-time issuances that expire after one year unless rescinded by another issuance. Changes are indicated by marginal dots.**

- 1. PURPOSE.** To establish policy, responsibilities, and procedures for publication of issuances.
- 2. SCOPE.** This directive applies to all departments, boards, commissions, and councils (hereinafter referred to as "agencies") under the Governor's jurisdiction and any other agency that must publish issuances under the provisions of [\*Title 4 of the Pennsylvania Code § 1.2.\*](#)
- 3. OBJECTIVES.**
  - a.** Publish issuances from the Governor's office and from agencies under the Governor's jurisdiction, except proclamations and press releases that are intended for distribution to two or more agencies on matters that affect agencies and employees of the Commonwealth of Pennsylvania.
  - b.** Ensure that issuances are reviewed prior to publication for authority, accuracy, impact, understanding, and completeness in the context of other agencies, other systems, and existing programs and procedures.

#### 4. DEFINITIONS.

- a. **Administrative Circular.** An issuance that contains either informational material or instructions that is one-time or temporary in nature. An administrative circular is signed and revised following the same process used for a management directive.
- b. **Amendment.** An amendment is a complete re-issuance incorporating all changes since the last publication.
- c. **Directives Management Coordinator.** An individual in an agency who is responsible for coordinating with the Office of Administration, Office of Enterprise Records Management (OERM) on the preparation, submission, approval, and publication of issuances. See Enclosure 3, Directives Management Coordinators.
- d. **Directives Management System.** The procedures, OERM utilizes to publish issuances.
- e. **Executive Order.** An issuance that announces the Governor's policies and programs.
- f. **Index of Issuances.** A listing of issuances, specified in [Title 4 of the Pennsylvania Code § 1.2.](#)
- g. **Issuance.** An executive order, management directive, administrative circular, manual, or other publication that announces policy, details responsibilities, procedures or guides, instructs or informs employees in their work. An issuance may be directional, informational, or procedural.
- h. **Management Directive.** An issuance that announces detailed policies, programs, responsibilities, and procedures that is relatively permanent.
- i. **Manual.** An issuance that contains detailed information or procedures for a defined set of operations. A preface or introduction to each manual will be signed the same as a management directive. Manuals, by definition include handbooks and guides.
- j. **Marginal Dots.** Dots placed in the margin to show the new or revised text.
- k. **Revision.** A revision is a pen and ink change or replacement page and affects only those parts of an issuance being changed.

#### 5. POLICY.

- a. Issuances from the Governor's Office and from agencies under the Governor's jurisdiction that contain policy, responsibilities, procedures, and/or set of defined operations and are intended for distribution to two or more agencies and, in certain cases, to the public, must be issued through the Directives Management System. Press releases and proclamations are excluded.

- (1) See [4 Pennsylvania Code, §§ 1.1-1.3](#), for authority.
  - (2) See [1 Pennsylvania Code, §§ 9.301\(b\) and 13.5](#), Regulations of the Joint Committee on Documents, for impact on agencies with respect to publishing certain statements of policy.
- b. Effective July 1, 2009, changes to executive orders, management directives, and manuals (catalogs, handbooks, bulletins, etc.) are issued in the form of amendments. Issuances before July 1, 2009 may have been issued as amendments or revisions.
  - c. Amendments and Rescissions. Issuances are amended or rescinded by another issuance or memorandum, except for executive orders. Executive orders are signed by the Governor; therefore, executive orders can only be amended or rescinded by another executive order or Governor memorandum. Administrative circulars are automatically rescinded one year from the date of issuance.
  - d. Issuances are signed by the Governor, Lieutenant Governor, Secretary of Administration, Secretary of the Budget, or the agency head of any department or independent board, commission, or council under the Governor's jurisdiction and/or any other agency that must publish issuances under the provisions of [Title 4 of the Pennsylvania Code § 1.2](#).
  - e. The intended scope of the audience for issuances must include the general public.
  - f. Issuances are to be reviewed every four years to determine if updates are necessary and, when applicable, request amendments and rescissions.

## 6. RESPONSIBILITIES.

- a. **Agency Heads** shall appoint a Directives Management Coordinator, if applicable.
- b. **Directives Management Coordinator** shall:
  - (1) Prepare new and amended issuances in the format shown in Enclosure 1, Format, and coordinate publication with OERM. This responsibility includes stakeholder review of issuing body for understanding and correctness in the context of the intended outcome and audience.
  - (2) Provide the program, business, and technical content.
  - (3) Review issuances every four years to determine if updates are necessary and, when applicable, request amendments and rescissions.
  - (4) Coordinate publication of new and amended issuances with OERM.

c. **Office of Enterprise Records Management** shall:

- (1) Review proposed issuances for authority, accuracy, impact, understanding and completeness in the context of other agencies, other systems, and existing programs and procedures.
- (2) Coordinate publication of issuances among responsible stakeholders based on content and signature authority.
- (3) Publish issuances on the Office of Administration's, Records and Directives Web site.
- (4) Issue e-Alerts announcing the publication of issuances.
- (5) Update semi-annually, for publication on the Office of Administration's Web site, *Manual 210.3, Index of Issuances*, and annually publishes in [Title 4 of the Pennsylvania Code § 1.4](#) at the end of each fiscal year.
- (6) Coordinate with the Legislative Reference Bureau on publication of appropriate issuances and fiscal notes for executive orders in the [Pennsylvania Bulletin](#) and [Pennsylvania Code](#).
- (7) Maintain an electronic, central record of all issuances and, when appropriate, transfer hardcopies to the State Archives for permanent preservation, in accordance with *Manual 210.9, The Commonwealth of Pennsylvania General Administrative Records Retention and Disposition Schedule*, Schedule Item #G001.002, Policies and Procedures (Executive Level).

**7. PROCEDURES.**

- a. **Directives Management Coordinator.** Sends request to OERM at [OA, EB-DMS](#) to initiate development of proposed issuances, amended issuances and rescission requests.
- b. **Office of Enterprise Records Management.** Sends draft issuances, in Microsoft Word, to the Directives Management Coordinator.
- c. **Directives Management Coordinator.**
  - (1) Edits draft issuances with track changes (Microsoft Word Tools menu, click track changes). Issuances must follow the formats outlined in Enclosure 1, Format, and Enclosure 2, Numbering System.
  - (2) E-mails issuances with track changes and memorandum to [OA, EB-DMS](#) for preparation of a final draft for agency review and approval. The memorandum should include the reason for the action, a summary of the action and authorization for the action.

- d. Office of Enterprise Records Management.** Prepares draft original or amended issuances and inserts marginal dots. If there are major changes, the statement in the summary paragraph will be inserted, "Marginal dots are excluded due to major changes."
- e. Directives Management Coordinator.**
- (1) Completes routing sheet by securing appropriate agency signatures from legal, policy, program, and agency head.
  - (2) E-mails the approved draft original or amended issuances, along with the routing sheet to [OA, EB-DMS](#).
- f. Office of Enterprise Records Management.**
- (1) Sends a hard copy of the approved original or amended draft issuances to the Directives Management Coordinator for signature by the appropriate authority.
  - (2) Upon receipt of signed issuances, OERM publishes issuances on the Office of Administration's, Records and Directives Web site, issue e-Alert, and submits documentation to the Legislative Reference Bureau for publication in the [Pennsylvania Bulletin](#) and [Pennsylvania Code](#).

**This directive replaces, in its entirety, *Management Directive 210.1*, dated July 14, 2009.**

**Enclosure 1 - Format**  
**Enclosure 2 - Numbering System**  
**Enclosure 3 –Directives Management Coordinators**

## FORMAT

Executive orders may vary depending on subject matter. There is no set format for the preparation of executive orders. Current orders may serve as a guide.

Administrative circulars may follow any logical sequence, depending on subject matter.

Management directives must be prepared using all of the following sections in the sequential order outlined below:

1. **PURPOSE.** The purpose of the directive; what is being implemented or announced.
2. **SCOPE.** Who or what is affected by the directive.
3. **OBJECTIVE.** The objective of the system being described, the material being presented, or requirements being imposed.
4. **DEFINITIONS.** Define any words or terms that would not be immediately understood by a reader. Terms peculiar to a particular discipline or function must be defined.
5. **POLICY.** A statement summarizing overall policy or authority for the action being taken.
6. **RESPONSIBILITIES.** Statements for each position or organization required to take action. In total, this section should provide a comprehensive statement of responsibilities for the system, program, or procedure outlined in PURPOSE and SCOPE.
7. **PROCEDURES.** Detailed step-by-step processes for completing actions required by the directive. For comprehensive processes, a manual may be appropriate.

## NUMBERING SYSTEM

Numbering system for management directives, manuals, handbooks, and guides. Numbers for manuals, handbooks, and guides are preceded by the letter M. OERM will assign and manage the numbering system.

Major Category	Subcategory	Function
<b>100</b>		<b>BUDGET</b>
	105	General
	110	Budget
<b>200</b>		<b>MANAGEMENT/ADMINISTRATION SUPPORT</b>
	205	General
	210	Management Programs
	215	Contracts Management
	220	Central Services
	230	Travel and Expenses
	240	Telecommunications Management
	250	Public Information Programs
	260	Organization and Space Management
<b>300</b>		<b>FINANCIAL MANAGEMENT</b>
	305	General
	310	Accounting
	315	Payroll
	325	Audits
<b>400</b>		<b>EQUAL EMPLOYMENT OPPORTUNITY</b>
	410	Equal Employment Opportunity Programs
<b>500</b>		<b>EMPLOYEE DEVELOPMENT AND UTILIZATION</b>
	505	General
	515	Employment
	520	Classification
	525	Pay
	530	Benefits
	535	Training
	540	Performance Evaluation
	570	Retirement
	580	Civil Service
	590	Labor Relations
<b>600</b>		<b>SUPPLIES, SERVICES, and EQUIPMENT</b>
	610	Supplies, and Equipment Acquisition/Disposition
	615	Automotive Services
	620	Commodity Standards
	625	Buildings, Property, and Real Estate
	630	Bonds and Insurance
<b>700</b>		<b>COMMONWEALTH PROGRAMS</b>
	720	Protection and Safety

### Directives Management Coordinators

Agency	Name	TELEPHONE
OA	John Clark	346-1545
OB	Dan Sharar	425-6744
DGS	Terri Heimbach	787-1356
SCSC	Sheryl Cebular	787-5855
SERS	Barbara Kiral	787-9657
PHMC	David Haury	783-9872
L & I	Marian Bassler	787-2889
Gov. Exec. Office	Paula Wilcox	787-5330
Agriculture	Susan West	787-5653
Education	Eric Chubb	783-9791