

DM 0100-001

**United States
Department of
Agriculture**

Office of the Chief
Information Officer

**PROCEDURES FOR PREPARING DEPARTMENTAL
DIRECTIVES
DM 0100-001**

PROCEDURES FOR PREPARING DEPARTMENTAL DIRECTIVES

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U.S. DEPARTMENT OF AGRICULTURE
WASHINGTON, D.C. 20250

DEPARTMENTAL MANUAL		Number: 0100-001
SUBJECT: Procedures for Preparing Departmental Directives	DATE: December 20, 2006	
	OPI: Office of the Chief Information Officer	

1. PURPOSE

The purpose of this Departmental Manual is to transmit the procedures to implement Departmental Regulation 0100-001, Departmental Directives System.

2. SPECIAL INSTRUCTIONS

- a. The proper process for the preparation, coordination and distribution of Departmental Directives is in this Departmental Manual.
- b. All Departmental Directives must be prepared using MS WORD.
- c. Departmental Directives that are not highly sensitive in nature and are not for a specialized audience will be posted to:
<http://www.ocio.usda.gov/directives/index.html>

3. CONTENTS, FORMAT, AND COPY REQUIREMENTS

The following information is needed when preparing Departmental Directives.

a. Required Sections.

Each directive **MUST** contain the following sections:

- (1) Purpose. Briefly state the purpose and scope of the directive and its applicability to various agencies and offices. Pertinent references to relevant laws, Executive Orders, external directives, etc., can be made here. If references are lengthy, a separate paragraph entitled "REFERENCES" may be used.
- (2) Special Instructions/Cancellation. Use it to provide special instructions or to cancel a previous directive. Special Instructions and Cancellations may be

combined in the same section provided it is clearly noted in the title of the section. (i.e. SPECIAL INSTRUCTIONS/CANCELLATION)

- (3) Policy. Provide a brief summary of the principal policy promulgated in Departmental Regulations.
 - (4) Procedures. Provide a section for Procedures when preparing Departmental Manuals that are lengthy and procedural in nature.
 - (5) Responsibilities. Identify responsible officials, offices, agencies, and functional specialists and their duties required by the directive.
- b. Optional Sections.
- (1) Background. Provide a brief summary of the historical information or the circumstance that necessitates the directive.
 - (2) Abbreviations. Use to identify abbreviations used throughout the directive. If an abbreviations section is not utilized, the abbreviation must be explained immediately after the first use in the text of the directive.
 - (3) Report(s). Identify any reports affected by the directive. Include complete title and number.
 - (4) Form(s). Identify any forms affected by the directive. Include complete title and number.
 - (5) Definitions. Use to provide meanings for words and phrases as they are to be interpreted in the context of the directive.
 - (6) Additional Sections. After the preceding Sections, use additional Sections as appropriate to present the substance of the directive. Arrange the Sections in order of workflow occurrence, relative importance, or other logical sequence of presentation.
- c. Additional Components of a Directive. In addition to the main text, directives may include the following:
- (1) Covers. Departmental Regulations and Notices will be printed without covers. The OPI may submit a request that the regulation be published with a cover if the regulation is lengthy and expected to be frequently handled and referenced. **ALL MANUALS WILL HAVE COVERS**
 - (2) Forewords. Forewords are introductory messages that may be used as needed in directives that have a cover. Capitalize and center the word "FOREWORD" at the top of the first introductory page. Begin the text of the foreword three lines below

the title. All forewords begin on a separate page and precede the first page of the directive. Paragraphs in a foreword are not numbered. If a foreword is used, it must be included in the Table of Contents. (See [Figure 1](#))

(3) Table of Contents.

(a) Directives with Covers. Use a Table of Contents in all directives with a cover. If a directive or manual will be printed double sided, begin the Table of Contents on a separate odd-numbered page. All Table of Contents begin on a separate page and immediately follow the cover. The title of the page should read "TABLE OF CONTENTS". The title should be written in all capital letters and centered. The text of the table of content should begin three lines below the title. (See [Figure 2](#))

(b) Directives without Covers. If a directive is more than 4 pages in length, a table of contents must be used. This table of contents will begin on the same page as the masthead. Start the table of contents three lines below the masthead. The left column should be titled "Section" and the right column should be titled "Page". Two lines below the word "Section" list the table of contents. Three lines below the table of contents start the text of the directive. (See [Figure 3](#))

(4) Appendix. Use an Appendix for detailed procedures or supplementary material. Give each Appendix a short, descriptive title. Type the title at the top of a separate page. Capitalize the entire title and center the title and the alphabetic appendix designation. (i.e. APPENDIX A) Begin the text of the Appendix three lines below the title. Use the same format in the text of an Appendix as used in the text of the directive.

(5) Figure. Use a Figure for graphic presentations, forms, and illustrations. Give each Figure a short, descriptive title.

Capitalize and center the Figure designation (Arabic numerals; i.e., 1, 2, 3) six lines above the Figure followed by the title which is to be typed three lines above the Figure. If a Figure is in an Appendix, precede the Figure number with the Appendix letter. (i.e. Figure A17)

(6) Table. Use a Table for listing data. Use the same numbering and titling conventions as for Figures but number each table separately.

d. Specialized Components. **FOR MANUALS ONLY.** Manuals may be divided into chapters, parts, and Sections. **THEY WILL ALL HAVE COVERS and TABLE of CONTENTS;** they may have forewords.

(1) Chapters. Give each chapter a brief, descriptive heading (title) and start it on a separate page. Designate chapters by Arabic Numerals that are preceded by the

word CHAPTER (i.e., CHAPTER 1, CHAPTER 2, and CHAPTER 3). Capitalize the chapter designation and center it three lines below the masthead. The title is written in all capital letters, centered, and two lines below the chapter heading. Begin the text three lines below the title.

Begin each new chapter on a separate page, six lines from the top of the page and three lines above the Section(s) it encompasses. Number paragraphs in the text of a chapter. Number the pages consecutively. (See [Figure 4](#))

- (2) Parts. Lengthy chapters, depending on their complexity, may be divided into parts. The first page of each new chapter will bear the chapter designation and title and the part number and title. Capitalize, center, and position the chapter designation and title on one line, three lines below the masthead. Capitalize, center, and position the part designation and title two lines below the chapter designation and title. Start the text three lines below the part number and title. (See [Figure 5](#))

Begin each new part on a separate page, six lines from the top of the page and three lines above the Section(s) it encompasses. Capitalize and center the title two lines below the part number. The first page of each new part within a chapter will bear the new part number and title only (not the chapter and title).

- (3) Sections. Format Sections as described in Section 3e through 3f. (See [Figure 6](#))

e. Units of Text

- (1) The basic unit of text in a directive is the numbered Section.
- (2) A numbered Section may consist of a single paragraph or several paragraphs and/or subparagraphs. Use subparagraphs to separate complex issues within paragraphs or to list conditions, exceptions, or procedures.
- (3) If paragraphs are subdivided, there must be at least two subparagraphs for every subdivision level.

f. Headings

- (1) Capitalize Section headings. Do not underscore. Omit period. Do not begin text on the same line.
- (2) Within each Section, as a rule, give first- and second-level subdivisions a brief, descriptive heading. It is permissible to use headings at any subdivision level provided each subparagraph within that specific subdivision bears a heading. Be consistent.

- (3) Capitalize the first letter of the first word and all major words in subdivision headings. Underline the heading. Close with a period and begin text on the same line unless the heading stands alone.

g. Classification of Subdivisions

Number or letter all subdivisions as follows:

- (1) Section. Use Arabic numerals followed by a period; i.e., 1., 2., 3., etc.
- (2) First Level Subdivision. Use small letters of the alphabet followed by a period; i.e., a., b., c., etc.
- (3) Second Level Subdivision. Use Arabic numerals in parentheses; i.e., (1), (2), (3), etc.
- (4) Third Level Subdivision. Use small letters of the alphabet in parentheses; i.e., (a), (b), (c), etc.
- (5) Fourth Level Subdivision. Use Arabic numerals underlined; i.e., 1, 2, 3, etc.
- (6) Fifth Level Subdivision. Use small letters of the alphabet underlined; i.e., a, b, c, etc.

h. Spacing and Indenting

- (1) The general rule is set forth below and is illustrated in [Figure 3](#). Additional guidance as necessary is in additional Figures throughout this manual.
 - (a) Single space the text.
 - (b) Double space between paragraphs.
 - (c) Triple space between numbered Sections.
- (2) In cases where the items in a listing consist of one line each, as above, they should be single spaced.
- (3) The general rule for setting tabs is listed below with the margins in parentheses:
 - (a) Section headings – Number followed by a period left justified. The section heading will begin 2 spaces from the period.
 - (b) All Other Subdivisions – The tab will be set to align with the text with the next higher level, 5 spaces from the beginning of the classification number or letter.

- i. Font. Times New Roman, 12 characters to the inch, is the required type style for the text within the directive.
 - j. Margins. All margins are to be set at one inch.
 - k. Page Numbers. In the main text of a directive, use Arabic numerals centered one-half inch from the bottom of the page. Number pages consecutively, including pages that contain Figures or Tables. Begin numbering with the second page. Number Appendix pages A-1, A-2, A-3; B-1, B-2, B-3, etc. Use small Roman numerals for a foreword or Table of Contents.
 - l. END. To identify the last page of the basic portion of text type "END" centered 2 lines below the last line of text in the body of the directive, before any Appendices. (Do not use in Appendices.)
4. CLEARANCE PROCESS FOR DEPARTMENTAL REGULATIONS (DR), DEPARTMENTAL MANUALS (DM), SECRETARY'S MEMORANDA (SM), SECRETARY'S ANNOUNCEMENTS (SA) and DEPARTMENTAL NOTICES (DN)

Reviewers should focus attention on the impact to the reviewer's organization when providing comments to the originating office. Comments should be expressed using constructive feedback and provide suggestions for improvement. Reviewers should review in the light of achieving overall mission through joint cooperation and joint responsibility. In the case of technical manuals, non-technical reviewers should consider that material is intended for individuals with subject matter expertise and may not require that material be written in simpler terms. Prior to informal or formal clearances, the OPI should meet with their Directives System Liaison Officer (DSLO) to manage, control and coordinate the informal and formal coordination of directives. This will greatly speed the formal process and decrease the chances of last minute non-concurrence or substantive changes.

Typical document development and clearance process for Departmental Issuances are as follows:

- a. Internal Clearance. Office of Primary Interest (OPI) drafts the directive and clears it through an internal clearance process. The OPI is responsible for establishing its own internal clearance procedures. If comments are received from offices within the organization, address comments and incorporate as appropriate into the document. After completing the informal clearance with affected organizations, the OPI produces the final copy on the proper Masthead (DR, DM, DN, or SM) and forwards to OCIO:
 - (1) A copy of the proposed directive, and

- (2) A copy of Form [AD-116](#), Clearance and Approval for Departmental Issuances Refer to Section 4b for guidance to complete the AD-116.

b. Preparing Form AD-116, Clearance and Approval for Departmental Issuances

- (1) In block 1, determine the type of clearance. See [Section 4d\(2\)\(a\)](#) and [Section 4d\(2\)\(b\)](#) for the definitions of Simultaneous and Sequential Clearance. Each type of clearance has specific handling procedures. If the clearance is a rush, put a note on the directive that it needs to be cleared by a certain date. The Office of Budget and Program Analysis (OBPA) and the Office of the General Counsel do **not** do simultaneous clearance. (See [Figure 7](#))
- (2) In blocks 2, indicate the classification number, if known, and the title of the directive. (See [Figure 7](#))
- (3) In block 4, indicate the originator of the directive, the originator's room number, phone number, and the OPI. (See [Figure 7](#))
- (4) In block 6, establish a deadline date for clearance and the distribution code. For assistance with establishing a date see [4d\(1\)\(a\)](#). (See [Figure 7](#))
- (3) In block 7, Clearance Originating Organization, should indicate persons at the Director/Administrator level and the next lowest level, or whatever the appropriate titles may be. (See [Figure 7](#))
- (4) In block 8, Other clearances, list the following clearance Officials: (See [Section 4d\(2\)\(c\)](#) for clarification)
 - (a) OCIO Directives Manager
 - (b) OES (To ensure the document is appropriate for the Secretary's signature.
 - (c) Any DA, or other Departmental/Offices
 - (d) OGC
 - (e) OBPA (last reviewer)
 - (f) OES (If a directives is signed in the Office of the Secretary, OES will deliver it to the Secretary's Office)
 - (g) OCIO Directives Manager for processing.
- (5) In Block 10, identify the title of the signature authority. [See 4d\(2\)\(d\)](#) for guidance.

- c. Informal Clearance. OCIO will review the directive for appearance, format, clarity, and reviews all items on the Form AD-116, Clearance and Approval for Departmental Issuances for appropriate clearances. Upon completion of the review, OCIO will return the directive package to the originator along with any appropriate comments.
- d. Formal Clearance. OPI will make any changes received from OCIO before forwarding the package to the remaining clearance officials listed above. Clearance officials need to focus their comments on those matters that are within their functional area and:
 - (1) Monitor clearances to ensure that established deadlines are met. If requested and justified, the OPI can grant an extension of the deadline date.
 - (a) Establish a realistic deadline date for clearance action (generally not to exceed 5 workdays per clearance office for DR's and 2 workdays per clearance office for DN's and SM's (DO NOT INCLUDE MAIL TIME). For DM's and longer DR's, the OPI may need to allow 10-20 days or longer depending on the complexity of the subject matter. The deadline date should be indicated in the sixth block of the AD-116.
 - (b) If a clearance office cannot meet this deadline, it should notify the OPI and request an extension.
 - (c) Except for mandatory clearances, and unless more time has been allowed, assume concurrence by the clearance official if the clearance office does not respond within established deadlines. If an extension is granted by the OPI, the AD-116 concurrences can be faxed to the OPI to prevent a delay in the process.
 - (2) Each originating office is encouraged to send directives electronically for review in lieu of a hard copy. The desired turn around time should determine the clearance method. Directives that are urgent and are not sent out electronically may be hand carried between clearance offices by the OPI. The methods that may be used are as follows:
 - (a) Simultaneous Clearance. The OPI attaches a copy of the AD-116 to each clearance office copy of the directive. Make a check mark next to the name and title on the AD-116 to identify each addressee and hand carry to the appropriate office.

The clearance official indicates the date the directive package was received and the date it was returned to the OPI. The clearance official also initials the appropriate column concurrence/nonconcurrence and returns the directive, the AD-116, and any comments to the OPI. For simultaneous clearances and those sequential clearances which result in comments from clearance officials before approval by the signature authority, the OPI:

- 1 Determines which comments should be incorporated and revises the draft accordingly;
 - 2 Obtains a second clearance from affected clearance officials if the directive is significantly revised; and
 - 3 Prepares a memorandum to the signature authority explaining any recommendations not adopted and why. The names and titles of clearance officials who did not respond should also be included.
- (b) Sequential Clearance. The OPI attaches an AD-116 to the directive identifying each clearance office in routing sequence and forwards the package to the first clearance office.

Each clearance official indicates the date the directive package was received and the date it was sent forward to the next office (or returned to the OPI). Each clearance official also initials the appropriate column of the AD-116 to indicate concurrence/nonconcurrence and forwards the package to the next clearance official unless issues need to be resolved with the OPI. If there are no issues, the last clearance official forwards the directive package to the signature authority.

A consolidated AD-116 may be made for the convenience of the signature authority with the individual AD-116's attached as backup.

- (c) Mandatory Clearances. All directives must go through the following offices. The order for mandatory clearances is OCIO, OES (If documents are signed by the Secretary they will be cleared twice by OES), ASA (if appropriate), OGC, and OBPA. OGC and OBPA do NOT do simultaneous clearance.
- 1 Office of the Chief Information Officer (OCIO) will serve as a mandatory clearance for all Departmental directives and Secretary's Memoranda. List as the first and last clearance point on Form AD-116 in block 8, Other Clearances.
 - 2 Office of the Executive Secretariat will review all documents signed by the Secretary twice. Once as part of the overall USDA review/clearance process to ensure that the document is appropriate for the Secretary's signature and again when the final signature package is delivered to OES for the Secretary's signature
 - 3 Assistant Secretary for Administration (ASA) will review all Departmental directives signed by the Secretary, Deputy Secretary, and Under and Assistant Secretaries. The ASA's office will be responsible for having the directive cleared within the scope of the ASA's authority, to

include a review by Office of Human Capital Management (OHCM), Labor Relations to determine if the Department has a national consultation obligation under 5 U.S.C. Chapter 71. Directives signed by Agency Head and Staff levels may still require review by OHCM, Labor Relations and should be consulted during this process.

- 4 Office of the General Counsel (OGC) will review all Departmental directives signed by the Secretary, Deputy Secretary, Under and Assistant Secretaries as well as those being signed at a lower level that have legal implications. **OGC does not do simultaneous clearance.** OGC will receive the directive after all other offices have cleared and before OBPA.
- 5 Office of Budget and Program Analysis (OBPA) will review and clear ALL Departmental directives. OBPA will receive the directive after OGC reviews and clears the directive. **OBPA does not do simultaneous clearance.**

(d) Signature Authority Approval

- 1 DRs, DMs and DNs. The signature authority (The person that signs the directive in accordance with their delegated authorities and assigned functions) signs the AD 116 signifying approval of the directive. There are NO SIGNATURES ON THE DR, DM, or DN itself. There must be a signature on the AD-116. The complete directive package is returned to the OPI. The OPI forwards the directive, all copies of the AD-116s and the disk/CD to OCIO for review and processing.
- 2 SMs and SAs. Only the Secretary or Acting Secretary will sign Secretary's Memoranda and Secretary's Announcements. The original copy of Secretary's Memoranda and Announcements are also signed in addition to the AD-116. (See [Figure 8](#))

5. REFERENCING PROCEDURES

To refer to one directive in another directive, use the directive series designator, number, and title the first time the directive is referenced (e.g., Manual). Thereafter, use only the series designator and number (e.g., DR 1010-001).

To refer to text within a directive, use the following conventions:

- | | |
|-------------------------------------|----------------------|
| a. A Section: | Section 6 |
| b. Several consecutive Sections: | Sections 5 through 9 |
| c. Several nonconsecutive Sections: | Sections 2, 6, and 9 |

- | | |
|---|---------------------------|
| d. A subdivision: | Section 11c |
| e. Several consecutive subdivisions: | Sections 3a through c |
| f. A subdivision of a subdivision: | Section 2a(3) |
| g. Several nonconsecutive subdivisions: | Section 2c(1) (3),and (8) |
| h. A Figure or Table: | Figure 2, Table 2 |
| i. A Figure within a Departmental Manual chapter (e.g., Figure 1 within chapter 3): | Figure 3-1 |
| j. A Figure within an Appendix (e.g., Figure 5 within Appendix A): | Figure A-5 |
| k. An Appendix: | Appendix A |
6. REVISION AND AMENDMENT PROCEDURES FOR REGULATIONS AND MANUALS.

The E-Government Act of 2002, Title 1, proposes that the Internet and other information technologies be used to improve the ability of the Government to achieve agency missions and to promote access to high quality government information and services across multiple channels. The USDA Directives Web page responds to these requirements by acting as an electronic repository and retrieval system for all Departmental directives. In many cases, this tool eliminates the need for offices to maintain hard copies of directives unless they are required on a regular basis to meet job or mission requirements.

a. DMs

- (1) Amendments. Amendments will be published for changes that are minor in nature and do not substantially modify existing directive policy language or change agency responsibilities from the original directive. Amended Directives will require that the OPI prepare an [AD-116](#), Clearance and Approval for Departmental Issuances marked with the term “Amendment”, and the amended pages. This package will be reviewed and approved by the OPI and the Signature Authority. After the package is signed, the OPI will send a copy of the signed AD-116 and the complete directive file containing the amended material electronically to the OCIO, Directives Manager. Directives will be loaded on the Web page to reflect the date modified. Amendments will be published on the Web page to provide a ready reference to updates in the original directive

For additional guidance for expanding the text in a DM, refer to [Section 6d](#).

To withdraw text from a DM is considered an amendment to the DM. For guidance refer to [Section 6e](#).

- (2) Revisions. Completely revise and reissue a DM when major areas in the Policy, Procedures and Responsibilities have modifications that add or substantially modify existing language or change workload from the original directive.

A revision of an existing DM carries the same classification and serial number, but a new date. In the "CANCELLATIONS" Section, state that the new DM is a revision of and cancels (number), (old date). Explain the nature of the revision in this Section or in the "PURPOSE" Section. When there is a complete revision do not use asterisks to identify changes in the text.

A revised DM will require the OPI to prepare a form AD-116, Clearance and Approval for Departmental Issuances marked with the term "Revised", and will follow the procedures for clearance detailed in [Section 4d\(2\)](#).

b. DRs, DN, SMs, and SAs

DRs, DN, SMs, and SAs CANNOT BE AMENDED; they must be reissued if information in the original is in error or omitted. The reissued directive carries the same classification number as the original, along with the same serial number. The new directive cancels the original. In the "CANCELLATIONS" Section, state that the new DRs, DN, SM, or SA cancels the (number) (old date).

A revised DR, DN, SM, or SA will require the OPI to prepare a form AD-116, Clearance and Approval for Departmental Issuances marked with the term "Revised", and will follow the procedures for clearance detailed in [Section 4d\(2\)](#).

c. Identification of Changes in Text

Use an asterisk in the left margin to indicate the material that has been changed. Do not use asterisks in the text. Delete old asterisks when making a new change to a page that has been previously changed. Asterisks will be used as follows:

- (1) Opposite each line where a change has been made;
- (2) Opposite a paragraph heading to signify several minor changes or extensive revision within that paragraph; and/or
- (3) Opposite a Section heading to signify several changes or extensive revision within that Section.

Do not use asterisks to identify correction of minor errors in spelling, punctuation, or grammar, etc. Do not use asterisks to denote changes in Figures or Tables when their use would be confusing.

d. Expanding Text for Departmental Manuals

Use the following guidelines to avoid renumbering and reprinting the entire regulation when inserting additional material.

- (1) Appendices. Additional Appendices will follow existing appendices. Use the next unassigned letter.
- (2) Paragraphs. When inserting a new paragraph BETWEEN existing paragraphs, number the new paragraph by using the preceding paragraph number followed by a dash and a consecutive Arabic numeral, e.g., 3a-1.
- (3) Figures and Tables. Number newly inserted Figures and Tables with the preceding Figure or Table number followed by a consecutive small letter of the alphabet.
- (4) Pages. When added text results in extra pages, retype only the pages whose text is changed by the insertion (e.g., if text is inserted on page 3, retype page 3, the new text, and page 4.) Number additional pages by using the preceding EVEN-NUMBERED page number, followed by a dash and a consecutive Arabic numeral. As an example: 4-1, 4-2, 4-3 (reverse blank).

NOTE: As appropriate, revise the Table of Contents to show the addition of information.

e. Withdrawing Text

Use the following guidelines to withdraw text as part of an amendment.

- (1) Sections, Paragraphs, Figures, or Tables. Reissue the page(s) showing deletion of a Section, paragraph, Figure, or Table. Use the word "WITHDRAWN" followed by the amendment number that requires the deletion. For example, if Section 6 is to be withdrawn:
 - (a) 6 (WITHDRAWN) Amendment 2
 - (b) As appropriate, revise the Table of Contents to show withdrawals.
- (2) Appendices. Show deletion of an appendix only in a Table of Contents if there is one. Use the word "WITHDRAWN" followed by the amendment number that requires the deletion.

(3) Pages. Use the following examples as a guide when withdrawing pages from a manual:

- (a) Page 13 is withdrawn. Reissue a blank page numbered "13." In the center of the page, show the word "WITHDRAWN" and the amendment number that mandated the deletion. The remainder of the manual will be unchanged.
- (b) Pages 14 through 20 are deleted. Page 13 is printed without any change. Number the reverse page as "14 through 20." Center the word "WITHDRAWN" on the page and the amendment number that requires the deletion.

7. DISTRIBUTION AND CLASSIFICATION DESCRIPTION

- a. Distribution System. Departmental directives will be distributed by electronically on the OCIO homepage. The OCIO homepage is the official repository for Departmental directives. Departmental directives will be posted on the OCIO homepage within 5 business days of their release. Hard copy distribution of Departmental directives will be made in accordance with requests received from the Office of Primary Interest. These requests will be limited and must be well justified to prevent unnecessary paperwork dissemination.
- b. Classification System. The Departmental Directives Classification System is a comprehensive list of USDA's administrative subjects. It is adjusted, expanded, or deleted as needed. It is used in issuing, filing, and referencing Departmental directives. Classification numbers are based on subject matter; they are NOT reserved for individual organizations. Any USDA agency with a need to write directives on a given subject may do so.

All Departmental directives will be assigned a subject classification number in accordance with the subject classification codes which are contained in this directive.

- c. Identifying Codes. All Office of Human Capital Management Regulations, Manuals and Notices will be assigned a two-part identifying code. The first number consists of a classification code assigned to Human Capital Management within the Departmental Directives System. The second number is a further refinement of the Departmental Directives System within Human Resources based on applicable chapter reference from Title 5, Code of Federal Regulations.

Under this system, directives will be numbered using two components; the first component will be the applicable Departmental administrative classification for Human Resources and the second will be the applicable CFR chapter reference. For example, if the Office of Human Capital Management issued a new merit promotion plan as an issuance under Promotion and Internal Placement, its classification would be DM 4030-335, broken down as follows: "DM" (indicates it's a manual) "4030" ("Employment" First component), and "335" (from "5 CFR 335 Promotion and

Internal Placement”). Departmental Regulations and Notices will be numbered in the same manner, the only difference being the title, i.e., Departmental Regulation or Departmental Notice (DN).

d. Assigning Classification Numbers.

(1) When More Than One Subject Is Involved. When a directive can be classified under more than one classification number, the OPI should recommend which subject captures the principal message of the directive. Otherwise, the OCIO – Directives Manager will assign Classification Numbers.

(2) Within a Directives Series. Serial numbers will be assigned consecutively within each series.

e. Changes to the Classification System. Recipients of Departmental issuances will be notified of any changes to the classification system and given an opportunity to request copies of any new information.

Department’s Classification system can be found in Appendix C.

8. FORMS

Use the following forms to prepare, clear, and issue Departmental directives.

These forms are available electronically at <http://www.ocio.usda.gov/forms/index.html> or hard copies are available through the Beltsville Service Center.

a. Form [AD-116](#): Clearance and Approval for Departmental Issuances

b. Form [AD-778](#): Secretary's Memorandum (first page)

c. Form [AD-811](#): Departmental Regulation (first page)

d. Form [AD-812](#): Departmental Manual (first page)

e. Form [AD-813](#): Departmental Notice (first page)

-END-

FIGURE 1

SAMPLE FOREWARD FORMAT

FOREWARD

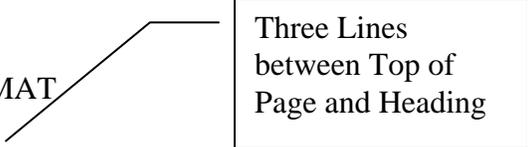
Three Lines
between Title and
Text

The Department of Agriculture (USDA) recognizes that all its employees need the tools Necessary to be productive, and that making reasonable accommodation is simply a way of providing the tools needed to accomplish this mission. An employee with a disability need only request an accommodation of the immediate or first line supervisor, who, in many instances is authorized via these procedures to provide the accommodation.

This manual sets forth the procedures to be used, if necessary, when considering the provision of reasonable accommodation to employees and applicants with disabilities.....

FIGURE 2

SAMPLE TABLE OF CONTENTS FORMAT



Three Lines
between Top of
Page and Heading

PROCEDURES FOR PREPARING DEPARTMENTAL DIRECTIVES

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FIGURE 4

SAMPLE FORMAT FOR MANUALS DIVIDED INTO CHAPTERS

U.S. DEPARTMENT OF AGRICULTURE
WASHINGTON, D.C. 20250

Article II. DEPARTMENTAL MANUAL		Number: 0100-001
SUBJECT: Procedures for Preparing Departmental Directives	DATE: December 20, 2006	
	OPI: Office of the Chief Information Officer	

CHAPTER 15

GENERAL INFORMATION

1. PURPOSE

XX
 XX
 XX

2. SPECIAL INSTRUCTIONS

a. XXXXXXXXXXXXXXXX. XXX
 XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

- (1) XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
- (2) XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
- (3) XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

3 Spaces Between Chapter Heading and text

FIGURE 7

SAMPLE OF AD 116, CLEARANCE AND APPROVAL FOR DEPARTMENTAL ISSUANCES

AD116 CLEARANCE AND APPROVAL FOR DEPARTMENTAL ISSUANCES UNITED STATES DEPARTMENT OF AGRICULTURE

1 TYPE OF CLEARANCE / ACTION
 Simultaneous Sequential New Revised Amended

2 CLASSIFICATION NUMBER AND TITLE
 DM 0100-001 PROCEDURES FOR PREPARING DEPARTMENTAL DIRECTIVES

3 INDEX TERMS

4 ORIGINATOR
 Name: Matt Patrick Room Number: 405-W Extension: 590-0042 Date: 11/9/2007 OPI: OCIO

5 FORMS AND REPORTS CLEARANCE
 Forms: _____ Date: _____ Reports: _____ Date: _____

6 CLEARANCE DEADLINE / DISTRIBUTION
 Complete by (date): January 9, 2007 Distribution Codes: ELECTRONIC

7 CLEARANCE ORIGINATING ORGANIZATION

Name	Title	Room Number	Date		Initials
			In	Out	
Chris Niedermayer	Assoc. CIO for ITM	405-W			
Megen Davis	Deputy CIO for ITM	405-W			
Jerry Williams	Deputy CIO	414-W			
Chuck Chrisopherson	CIO	414-W			

8 OTHER CLEARANCES
See specific instructions on reverse

Organization Abbreviations	Name and Title	Room Number	Date		Concur		Nonconcur
			In	Out	no comment	comments	
OCIO	Matt Patrick	405-W					
OES	Director	116-A					
OGC	OGC	107-W					
OBPA	Director	100-A					
OCIO	Matt Patrick	405-W					

9 REMARKS
 (for additional space attach paper)

10 SIGNATURE AUTHORITY
 Signature: _____ Title: CIO Date: _____

FIGURE 8

SAMPLE FORMAT FOR SECRETARY'S MEMORANDUM

UNITED STATES DEPARTMENT OF AGRICULTURE

OFFICE OF THE SECRETARY

WASHINGTON, D.C. 20250

December 12, 2007

OCIO Enters Date

Article IV. SECRETARY'S MEMORANDUM T700-002

OCIO Enters Classification Number

Triple Space between Title and Secretary's Memorandum

Centered with Initial Capitals

Procedures For Handling Hotline Complaints Against Senior Executive Service Officials

3 Spaces between Title and First Section

1. BACKGROUND AND PURPOSE

This Memorandum establishes U.S. Department of Agriculture (USDA) procedures for the handling of hotline complaints in which the subject of the complaint is a member of the Senior Executive Service (SES).

Signature Appears at End of Memo

SECRETARY OF AGRICULTURE

APPENDIX A

DEFINITIONS

- a. Agency. Organizational units of the Department, other than staff offices as defined in 9s below, whose heads report to officials within the Office of the Secretary, Deputy Secretary, Under and Assistant Secretaries.
- b. Agency Directives. Issuances that originate within Department agencies or staff offices as interpretations of internal or external directives, or enabling legislation.
- c. Amendment. A change to part of a Departmental Manual.
- d. Camera Copy. The final approved version of a directive that is ready for reproduction.
- e. Classification. The arrangement of directives into categories and subcategories according to their subject matter. In the Departmental Directives System, categories are identified and their subdivisions logically related by a numbering system.
- f. Classification Code. A number indicating the basic subject matter of a specific directive; e.g., code 1041 indicates that the subject of a directive is committee management.
- g. Classification Number. The number that uniquely identifies each Departmental directive. It consists of a series designator, a classification code, and a serial number; e.g., DR 1041-001 would be the first Departmental Regulation on committee management.
- h. Codification. The issuance of a directive, appropriately numbered, in permanent form, or the conversion of a temporary directive to permanent issuance.
- i. External Directives. Federal regulations, Executive Orders, or other issuances that originate outside USDA but may apply to USDA operations.
- j. Format. The design of directive pages for positioning constant information such as directive number, subject, OPI, date, page number, margins, etc.
- k. Head. Agency Administrator or office director, or the person acting as head.

- l. Mandatory Clearance Office. A clearance office that directives must be cleared through prior to issuance.
- m. Office of Primary Interest. The office responsible for the origination and content of a directive related to a particular function or program.
- n. Office of the Secretary. This term includes the immediate office of the Secretary, the Deputy Secretary, the Under and Assistant Secretaries.
- o. Rescission. The cancellation of a directive.
- p. Revision. A complete rewrite and reissuance of an existing Departmental Regulation or Manual.
- q. Secretary. The Secretary of Agriculture.
- r. Series Designator. An alphabetical abbreviation indicating the Series of a particular Departmental directive (e.g., DR, DM, DN, SA, SM).
- s. Signature Authority. The office/person that approves the directive in accordance with delegated authorities and assigned functions
- t. Staff Office. Departmental administrative offices whose heads report to officials within the Office of the Secretary.

APPENDIX B

ABBREVIATIONS

AD	Agriculture Department (for forms use only)
AML	Automated Mailing List
ASA	Assistant Secretary for Administration
ASCR	Assistant Secretary of Civil Rights
DM	Departmental Manual
DN	Departmental Notice
DR	Departmental Regulation
DSLO	Directives System Liaison Officer
ITM	Information & Technology Management
M&RMD	Mail and Reproduction Management Division
OBPA	Office of Budget Program and Analysis
OC	Office of Communications
OCIO	Office of the Chief Information Officer
OGC	Office of the General Counsel
OHCM	Office of Human Capital Management
OO	Office of Operations
OPI	Office of Primary Interest
SCTMPI	Service Center Technology Modernization Project Information
SA	Secretary's Announcement
SM	Secretary's Memoranda

APPENDIX C

DEPARTMENTAL CLASSIFICATION SYSTEM

100 DEPARTMENTAL DIRECTIVES SYSTEM

- 0100 Procedures for Preparing Departmental Directives
- 0110 Directive Systems Management and Operation
- 0120 Classification
- 0130 Distribution Codes
- 0140 Indexing

1000-1999 GENERAL MANAGEMENT AND ADMINISTRATION

1000 ORGANIZATION, AUTHORITIES, AND FUNCTIONS

- 1010 Organization
 - 1011 Principles of Organization (General)
 - 1012 Organization Planning
 - 1013 Manpower Planning
- 1020 Statements of Missions and Functions
- 1030 Delegations of Authority
- 1040 Committees and Boards
 - 1041 Committee Management
 - 1042 Statutory Advisory Committees
 - 1043 Nonstatutory Committees
 - 1044 Other Committees and Boards
- 1050 Intradepartment Relations
 - 1051 Relations with Field Activities

1100 MANAGEMENT IMPROVEMENT

- 1110 Management Policies and Procedures
- 1120 Management Systems Development
 - 1121 Project Management
- 1130 Management Studies and Analyses
 - 1131 Workload Analysis and Measurement
 - 1132 Productivity Analysis
- 1140 Management Improvement Programs

1200 PROGRAM PLANNING AND EVALUATION

1210 Program Goals and Objectives

1220 Program Planning

1230 Program Review and Evaluation

1240 Program Impact Analysis

1250 Program Decision Systems

1260 Legislative Programs and Reports

1300 EXTERNAL RELATIONS

1310 Executive Branch Relations

1311 White House and Executive Office Relations

1312 Interdepartmental Relations

1313 Temporary Agencies, Commissions, Task Forces, etc.

1314 Formal Agreements and Memoranda of Understanding

1320 Legislative Branch Relations

1321 Senate Relations

1322 House of Representatives Relations

1323 Congressional Hearings and Testimony

1324 GAO/GPO/Other Legislative Branch Relations

1325 Reports to Congress

1330 Judicial Branch Relations

1340 State and Local Agency Relations

1350 International Relations

1360 Public and Special Interest Groups and Organizations

1370 Industrial and Commercial Organizations

1380 Professional Societies and Associations

1390 Educational Institutions (including Libraries, Museums, etc.)

1400 PUBLIC AFFAIRS

1410 Publishing

1420 Composition and Printing

1421 Copy and Duplication

1422 Photocomposition

1430 Publication Distribution

1440 News Releases, Speeches and Current Information

1450 Radio and Television

1460 Media and Public Liaison

1470 Graphic and Exhibit Design

1480 Photography

1490 Video and Film

1500 LEGAL AFFAIRS AND PROCEEDINGS

1510 Coordination and Clearance Services

1511 Legislative Review

1512 Regulatory and Program Review

1513 Legal Advice and Opinions

1520 Legal Proceedings

1521 Departmental and Administrative Proceedings

1522 Judicial Proceedings

1530 Employee Involvement in Legal Proceedings

1600 FACILITIES AND SPACE MANAGEMENT

1610 Space Planning, Classification, and SLUC

1620 Space Acquisition and Assignment

1630 Space Utilization

1640 Alterations and Maintenance

1650 Building Safety/Security

1660 Parking Services

1670 Utility Services

1680 Conference Rooms/Auditoriums/Vendor Services

1700 INVESTIGATIONS AND AUDITS

1710 Investigations

1720 Audits

**1800 EMERGENCY PREPAREDNESS AND CONTINGENCY
PLANNING**

1810 Emergency Procedures and Planning (Crisis Management)

1820 Civil Defense Program

1830 Nature and Other Disasters

2000-2999 BUDGET AND FINANCE

2000 BUDGET DEVELOPMENT, PRESENTATION, AND EXECUTION

2010 Budget Planning

2020 Budget Development

2030 Budget Presentation

2040 Budget Execution

2050 Budget Reporting

2100 FINANCIAL MANAGEMENT/ACCOUNTING

2110 Accounting Systems

2120 Cash Management

2130 Debt Management

2140 Liabilities

2150 Revenues

2160 Cost Distribution

2170 Cost Determination (A-76)

2180 Property

2200 FISCAL MANAGEMENT

2210 Appropriations, Receipts, and Fund Accounts

2220 Collections

2230 Obligations

2240 Disbursements

2250 Imprest Funds

2260 Withdrawals, Restorations, and Transfers of Appropriation Balances

2270 Account Table Officers

2280 Fiscal and Accounting Codes

2300 TRAVEL AND TRANSPORTATION

2310 Temporary Duty Travel-Domestic

2320 Temporary Duty Travel-Foreign

2330 Relocation

2340 Sickness or Death while in Travel Status

2350 Transportation of Things

2400 FEDERAL ASSISTANCE

2410 Educational Institutions

2420 State and Local Governments

2430 Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations

2440 Loans

2450 Grants

2500 CLAIMS

2510 Claims against the U.S.

2520 Debt Claims

2530 Dual Compensation Debts

2540 Damage/Loss of Government Property

2550 Damage/Loss of Shipments

2560 Irregularities/Discrepancies

2570 Waivers

2600 PAY AND ALLOWANCES

2610 Internal Control

2620 Principles and Standards

2630 Special Allowances to Civilian Employees

3000-3999 INFORMATION RESOURCES MANAGEMENT

3000 RECORDS MANAGEMENT

3010 Directives Management

3020 Forms Management

3030 Reports Management

3031 Public Paperwork Burden Control

3040 Files Management

3050 Mail Management

3051 Automated Mailing Lists

3052 Messenger Services

3060 Correspondence Management

3070 Micrographics Management

3080 Records Disposition

3090 Vital Records

3100 MANAGEMENT OF INFORMATION RESOURCES

3110 Planning

3111 Long Range Planning

3112 Capacity Planning

3120 Standards

3130 Technical Approval

3140 Security

3150 Review and Evaluation

3200 ADP MANAGEMENT

3210 Design and Development

3220 Resource Acquisition

3230 Resource Utilization

3240 Operations

3300 TELECOMMUNICATIONS MANAGEMENT

3310 Voice Telecommunications

3320 Data Telecommunications

3330 Radio Communications

3340 Employee Locator Services

3400 INFORMATION MANAGEMENT

3410 Information Collection

3420 Information Dissemination

3430 Information Sharing

3440 Classified and Sensitive Information

3450 FOIA and Privacy

3500 CYBER SECURITY

3505 USDA Computer Incident Response Procedures

3510 USDA Information Technology (IT) Restricted Space

3515 Privacy Requirements

3520 Configuration Management

3525 USDA Internet and E-mail Security

3530 USDA Security Protection

3535 C2 Controlled Access Protection-General Information

3540 Risk Management Program

3545 Personnel Security

3550 Information Technology Systems

3560 Capital Planning and Investment Control (CPIC) for Security

3565 Cyber Security Plans

3570 IT Contingency and Disaster Planning

3573 Security Controls

3595 USDA Cyber Security Manual Series 3500 Appendix A Glossary

3600 INFORMATION AND TECHNOLOGY TRANSFORMATION

3600 USDA Information and Technology Transformation

3610 USDA eAuthentication Service

3620 USDA eLearning Services, Courseware and Content

3630 USDA Enterprise Shared Services

3800 COMMON IDENTIFICATION STANDARDS

3900 SERVICE CENTER TECHNOLOGY MODERNIZATION INFORMATION

4000 HUMAN RESOURCES MANAGEMENT

4010 Strategic Human Capital Management and Human Resources Delegations

001 Delegations of Authority

010 Strategic Human Capital Management

171 OHRM Directives System

4020 General Personnel Provisions, Personnel Records, and Actions

211 Veteran Preference

212 Competitive Service & Competitive Status

213 Excepted Service

250 Oversight & Evaluation

251 Employee Organizations

293 Personnel Records

294 Freedom of Information

297 Privacy

4030 Employment

300 Employment

307 Veteran Readjustment Act

308 Volunteer Service

310 Employment of Relatives

311 Workforce Planning

315 Career & Career Conditional Employment

316 Temporary & Term Employment

317 SES Employment

319 Senior level & Scientific & Professional positions

330 Recruitment, Selection & Placement

332 Recruitment & Selection through Competitive Exams

333 Recruitment & Selection for Temp & Term Appts Outside Registers

334 Temp Assignments between & Outside Federal Agencies

335 Promotion & Internal Placement

337 Examining System

338 Qualifications Requirements

339 Medical Qualification Determinations

340 Other than Full Time Career Employment

351 Reduction in Force

352 Employment Rights

353 Restoration of Duty

359 Removal from the SES and Placement Rights

362 Presidential Management Intern Program

4040 Employee Performance and Development

- 410 Training
- 412 Executive Management & Supervisory Development
- 430 Performance Management
- 432 Performance Based Actions
- 451 Awards

4050 Position Classification, Pay and Allowances

- 511 Classification under the General Schedule
- 530 Pay Rates & Systems
- 531 Pay under the General Schedule
- 532 Prevailing Rate Systems
- 534 Pay Under Other Systems
- 536 Grade & Pay Retention
- 537 Repayment of Student Loans
- 550 Pay Administration
- 551 Pay Administration under FLSA
- 553 Reemployment of Military and Civilian Retirees
- 572 Travel & Transport Expenses – Appointees & Interviews
- 575 Recruitment & Relocation Bonuses
- 576 Voluntary Separation Incentive Payments
- 581 Processing Garnishment Order & Child Support
- 591 Allowances and Differentials
- 592 Overseas Allowances and Differentials
- 594 Hostile Fire Pay
- 595 Physicians' Comparability Allowances

4060 Attendance and Leave

- 610 Hours of Duty
- 630 Absence & Leave

4070 Personnel Relations

- 711 Labor Relations
- 720 Affirmative Employment Programs
- 731 Suitability
- 734 Political Activities
- 735 Employee Responsibilities & Conduct
- 736 Personnel Investigations
- 751 Discipline
- 752 Adverse Actions
- 771 Agency Administrative Grievance System
- 792 Federal Employee Health & Counseling Programs

4080 Employee Benefits

811 Employee Work Life Programs
830 CSRS Retirement
840 FERS Retirement
870 Federal Employees Group Life Programs
875 Professional Liability Insurance
880 Federal Employee Long Term Care Programs
890 Federal Employee Health Benefit Program
1600 Thrift Savings Plan

4090 Senior Executive Service and Other special positions
900 Intergovernmental Personnel Act Programs
910 Demonstration Projects

4100 RESERVED

4200 RESERVED

4300 EQUAL OPPORTUNITY

4310 Affirmative Action
4320 Complaint Investigations
4330 Compliance
4340 Civil Rights Impact Statements
4350 Equal Opportunity in Housing
4360 Outreach-Public Notification
4370 Data Collection and Evaluation

4400 SAFETY AND HEALTH

4410 Program Management
4420 Education/Training
4430 Employee Services
4440 Supervision
4450 Evaluation

4600 PERSONNEL SECURITY

4610 Security Clearance

4620 Identification Cards, Passes, and Badges

4700 ALTERNATIVE DISPUTE RESOLUTION

4710 Alternative Dispute Resolution

5000-5999 PROPERTY AND RESOURCE MANAGEMENT

5000 PROCUREMENT MANAGEMENT

5010 USDA Procurement Reporting System

5020 Debarred, Suspended, and Ineligible Bidders

5030 Sureties

5040 ADP

5050 Labor Standards

5060 Departmental Blanket Purchase Arrangements

5070 Consulting Services

5080 Disputes

5090 Socioeconomic Procurement

5100 REAL PROPERTY MANAGEMENT

5110 Acquisitions

5111 Purchase, Donations, Exchanges, Transfers

5112 Leasing

5120 Utilization

5130 Disposition

5140 Historical Significance/Preservation

5150 Relocation Assistance

5160 Use of Official Agency Symbols

5200 PERSONAL PROPERTY MANAGEMENT

5300 SUPPLY MANAGEMENT

5400 FLEET MANAGEMENT

5500 ENERGY MANAGEMENT

5600 ENVIRONMENTAL PROTECTION

5700 PATENTS, COPYRIGHTS, AND TRADEMARKS

6000-8999 RESERVED

9000-9999 PROGRAM AREAS

9000 FOOD AND CONSUMER PROGRAMS

9100 MARKETING AND TRANSPORTATION PROGRAMS

9200 INTERNATIONAL AFFAIRS PROGRAMS

9300 COMMODITY PROGRAMS

9400 RURAL DEVELOPMENT PROGRAMS

9500 NATURAL RESOURCES AND ENVIRONMENTAL PROGRAMS

9600 SCIENTIFIC AND EDUCATION PROGRAMS

9700 SOCIOECONOMIC PROGRAMS

9710 Preference Programs

9720 Minority Bank Deposit Programs

9800 ECONOMIC AND STATISTICS PROGRAMS