

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

<b>DEPARTMENTAL REGULATION</b>		Number: 0100-001
SUBJECT: Departmental Directives System	DATE: December 20, 2006	
	OPI: Chief Information Officer	

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1. PURPOSE

This regulation describes the structure, general issuance authority, policies, and responsibilities for issuing Departmental Directives.

2. SPECIAL INSTRUCTIONS/CANCELLATIONS

- a. This regulation supersedes Departmental Regulation (DR) 0100-001 dated July 25, 1996
- b. The principal changes to DR 0100-001 are as follows:
  - (1) New procedures for clearing, publishing and having electronic access to Departmental Directives. (See DM 0100-001)
  - (2) 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>
- c. All Departmental Directives MUST be prepared using MS WORD.
- d. All Departmental directives signed by the Secretary must go through the

Office of the Executive Secretariat twice, once as part of the overall review process to ensure that the draft is appropriate for the Secretary's signature and again when the final signature package is delivered to OES for the Secretary's signature.

- e. The proper process for the preparation, coordination and distribution of the Directives System has been moved to Departmental Manual (DM) 0100-001, Procedures for Preparing Departmental Directives. DM 0100-001 establishes written procedures to use when implementing this Departmental Regulation.

### 3. POLICY FOR DEPARTMENTAL DIRECTIVES

- a. USDA Agencies and Staff Offices will use the Departmental Directives system to issue policies, procedures, and guidance which have general applicability to employees and two or more USDA agencies or staff offices of the Department. Directives that are applicable to only one agency or staff office are not part of the Departmental Directives System.
- b. Departmental Directives and issuances consist of the documents discussed below. Generally, the content and format of each is similar. For a detailed discussion of coordination, contents, format, and illustrations see Departmental Manual 0100-001.

(1) Permanent Directives are continuing directives that are in force until specifically canceled. They are:

- (a) Regulations. Departmental Regulations (DR) promulgate Departmental policy; delegate authority; establish responsibility; establish statutory, national advisory or interagency committees; and prescribe procedures governing USDA activities and operations. DRs may also include selected material of an administrative nature that is published in the Federal Register or the Code of Federal Regulations.
- (b) Manuals. Departmental Manuals (DM) are used for detailed, relatively lengthy technical guidance that is procedural in nature and Departmentwide in scope. Manuals generally are written for "specialist" audiences. They provide standards and guidance pertaining to a particular subject or administrative function, generally of the type that must be referred to on a daily or frequent basis. Some manuals implement an external agency directive series with USDA policy and procedural guidance.

(2) Temporary Directives. Temporary Directives are not to exceed one year and CANNOT BE AMENDED. They are:

(a) Notices. Departmental Notices (DN) announce:

1 Policy or procedure of Departmentwide interest that is temporary or of a one-time nature that normally addresses a single subject;

2 Permanent policy or procedure which requires immediate dissemination and will be codified into a Departmental Regulation or Manual or an agency directives system within one year; or

3 Delegations of Authority from Assistant Secretaries and other General Officers pending publication in the Federal Register.

(b) Secretary's Memoranda. Secretary's Memoranda (SM) establish or announce changes in major policy concerning missions and programs of the Department, direct or implement action on these programs, or redirect or change policy or action in these areas. Examples include actions which by law require the endorsement of the Secretary; and delegations of authority by the Secretary.

Items not requiring the Secretary's endorsement should be issued in another format.

(3) Other Departmental Issuances. There are issuances with Departmentwide interest which are non-directive in nature, and which ARE NOT part of the Departmental Directives System. They are:

(a) Secretary's Announcements. This is the Secretary's vehicle for issuing transitory material of special interest and other information, which does not conform to the description of a directive. While they are NOT part of the Departmental Directives System, OCIO will review and process them to ensure that they do not contain directive material.

(b) Departmental Announcements. The vehicle that the Deputy Secretary, Under and Assistant Secretaries, General Officers, and heads of agencies and staff offices use for announcing informational items of wide interest (outside their own agency or staff office) that need not be signed by the Secretary. Examples of such material are special interest days or weeks or "drives" where participation is discretionary in nature. The sponsoring agency will process these Announcements.

c. Office of Primary Interests (OPI) must coordinate and obtain formal clearance of proposed directives with AFFECTED ORGANIZATIONS, particularly when policy or legal implications are involved.

- d. The agencies and staff offices manage internal issuances which interpret Departmental directives, external directives, or which enable legislation. They are not required to follow the format prescribed in the Departmental regulation.
- e. Persons in specific positions may issue policy, guidance and procedures within the scope of their delegated authority and assigned functions:
  - (1) Regulations, Manuals, and Notices. The Secretary, the Deputy Secretary, Under and Assistant Secretaries, other General Officers, agency heads, and directors of Departmental staff offices. These officials may delegate Signature Authority to their principal subordinates, and must notify OCIO, in writing of such delegations.
  - (2) Secretary's Memoranda and Secretary's Announcements. Only the Secretary or Acting Secretary may issue Secretary's Memoranda and Secretary's Announcements.
- f. The date that the signature authority signs the Form AD-116, Clearance and Approval for Departmental Issuances (AD-116) is the effective date, unless otherwise indicated under "SPECIAL INSTRUCTIONS."
- g. Office of Primary Interests must codify material of a permanent nature that was originally issued as a temporary directive. All such material is to be codified, within 1 year after issuance, in either a Departmental Regulation or Manual or in an agency directive, as appropriate. In the Codification/Expiration block of Form AD-813, Departmental Notice, state the expiration date of the issuance. Recommended statements are:
  - (1) To be codified in (document) OR will expire (date).
  - (2) Will not be codified; expires (date) OR (event).
- h. DRs and DMs can be cancelled by another Departmental directive or upon request from the OPI. DNs and SMs can be cancelled by:
  - (1) Another Notice or Secretary's Memorandum, but only a Secretary's Memorandum can cancel a Secretary's Memorandum;
  - (2) Codification into a Departmental Regulation or Manual. The DR or DM should include the cancellation instructions; and
  - (3) Expiration Date.
- i. It is mandatory that all DRs, DMs, SAs and SMs be cleared through the following offices.

- (1) Office of the Chief Information Officer (OCIO): All Departmental directives and Secretary's Memoranda must be cleared through OCIO-Departmental Directives Officer. List as the first and last clearance point on the AD-116 in block 8, Other Clearances.
- (2) Office of the Executive Secretariat: All Departmental directives signed by the Secretary must go through OES twice, once as part of the overall USDA review/clearance process to ensure that the draft 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): All Departmental directives signed by the Secretary, Deputy Secretary, and Under and Assistant Secretaries must be cleared through the ASA. The ASA's office must clear the directive 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 at 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 issuance signed by the Secretary, Deputy Secretary, Under Secretaries, 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 does not perform simultaneous clearance of Departmental directives. OBPA will clear all Departmental directives after all other clearances have been obtained.

The order for mandatory clearances is OCIO, OES (If signed by the Secretary), ASA (if appropriate), OGC and OBPA.

- j. Signature Authorities will approve the issuance of Departmental directives in accordance with their delegated authorities and assigned functions by signing the AD-116, Clearance and Approval clearance sheet. This includes Departmental Regulations, Departmental Manuals, and Departmental Notices.

#### 4. RESPONSIBILITIES

- a. The Office of the Chief Information Officer will:

- (1) Establish policies, standards, and procedures for the Departmental Directives System;
  - (2) Manage all aspects of the Departmental Directives System, serving as a central control point to prevent overlapping, duplication, and conflict;
  - (3) Provide assistance and advice to originators of Departmental directives;
  - (4) Recommend the issuance of new or revised Departmental directives to responsible officials;
  - (5) Review all draft Departmental directives prior to formal clearance to ensure that provisions of this regulation are met;
  - (6) Process approved Departmental directives following formal clearance and approval. Processing includes adding the classification number and date to all pages, as well as assigning and adding the serial number to directives prior to publishing;
  - (7) Manage the Departmental Directives Classification System and ensure that all Departmental directives are properly classified;
  - (8) Maintain an electronic system and operating procedures to ensure immediate access to Departmental Directives by posting to <http://www.ocio.usda.gov/directives/index.html> within 5 days after finalization;
  - (9) Assist the Office of Primary Interest in ensuring that concurrences are received from the other mandatory review offices ASA, OGC and OBPA;
  - (10) Periodically audit the Departmental Directives System, evaluate and approve suggestions for improving the directives system, eliminate Departmental directives when possible, and ensure that the Departmental Directives System agrees with other management programs and controls;
  - (11) Maintain historical files of Departmental directives, including copies of current and superseded directives, clearance forms, and other pertinent information; and
  - (12) Serve as a mandatory clearance office for all Departmental directives and Secretary's Memoranda.
- b. Department Agencies and Staff Offices will:

- (1) Ensure that their staffs are aware of and comply with the provisions of this

regulation;

- (2) Ensure that all Departmental directives in their area of responsibility are complete, accurate, and current;
- (3) Ensuring that Departmental directives that are highly sensitive are not posted on the USDA Internet. Directives containing sensitive information will be so noted by the originating office;
- (4) Maintain a system that permits access to Departmental Directive within five days after issuance;
- (5) Appoint a Directives System Liaison Officer (DSLO) to manage, control, and coordinate all Departmental directive activities within their organizations; and provide the name, complete mailing address, and telephone number of the appointed DSLO (or any replacement) to the Departmental Directives Manager. A list of the DSLOs are posted at <http://www.ocio.usda.gov/directives/index.html>; and
- (6) Maintain historical files of Departmental directives, including copies of current and superseded directives, clearance forms, and other pertinent information for directives for which they are responsible.

c. Offices of Primary Interest will:

- (1) Prepare Departmental directives within the scope of their delegated authority;
- (2) Determine the impact of external agency directives (OMB, OPM, GSA, etc.) on assigned functions and issue or amend Departmental directives as appropriate to implement or incorporate the external issuances;
- (3) Determine whether the directive will contain sensitive information by checking with your cyber security officer. If a directive contains sensitive information it should not be posted to the internet. Also, the directive should be clearly identified as containing sensitive information;
- (4) Coordinate and clear proposed Departmental directives with affected organizational units; (See DM 0100-001);
- (5) Recommend a classification number and distribution code(s);
- (6) Type and proof Departmental directives. Prepare all directives using the Times New Roman 12 pt. Font in MS WORD;
- (7) Provide a final camera-ready paper copy and final MS WORD document

on a diskette or CD on all newly approved directives to OCIO. OCIO will accept an email copy of the directive and the OPI is responsible for ensuring that the electronic version of the directive is the exact version of the paper document approved by the agency official provided to OCIO;

- (8) After issuance of a Departmental directive, retain background material (e.g., comments received during clearance); and
- (9) At least annually, review Departmental directives for which they are responsible; and revise, amend, rescind, or codify as appropriate.

d. Clearance Offices will:

- (1) Participate in informal coordination sessions when requested by the OPI;
- (2) Review proposed Departmental directives for organizational impact, coordinate with the OPI for necessary changes and indicate formal concurrence/nonconcurrence;
- (3) Return comments to the OPI by the established deadline or request a formal extension in time; and
- (4) In the case of disputes, will proactively work with the OPI to resolve areas of conflict that promote the issuance of the directive and meet the needs of both parties.

e. The Office of the Executive Secretariat will:

- (1) Ensure that directives designated for signature by the Secretary are appropriately written and completely cleared,
- (2) Forward the directives to the Secretary for signature;
- (3) Maintain the camera copy, original clearance form, and all relevant background material on all directives signed by the Secretary; and
- (4) Obtain the signature of the Secretary of Agriculture on the last page of the Secretary's Memorandum and the AD-116.

f. Office of Operations will:

- (1) Request an Automated Mailing List to prepare mailing labels as required for a particular distribution that is not electronic;
- (2) Distribute copies of Departmental directives according to distribution instructions; and



(3) Review, approve, establish, consolidate, and delete mailing lists.

g. Directives System Liaison Officers will:

- (1) Serve as liaison to OCIO on all matters relating to the Departmental Directives System;
- (2) Establish distribution lists for Departmental directives within their organization and ensure that these directives are distributed on a need-to-know and need-to-act basis;
- (3) Approve requests from their organization for supplemental distribution of directives; and
- (4) Assist the OPI in the clearance process of Departmental Directives.

h. Assistant Secretary for Administration will:

- (1) Serve as a mandatory clearance office; and
- (2) Review all Departmental directives signed by the Secretary, Deputy Secretary, and Under and Assistant Secretaries.

i. Office of the General Counsel will:

- (1) Serve as a mandatory clearance office; and
- (2) Review all Departmental directives signed by the Secretary, Deputy Secretary, and Under and Assistant Secretaries.

j. Office of Budget and Program Analysis will:

- (1) Serve as a mandatory clearance office authority; and
- (2) Review all Departmental directives signed by the Secretary, Deputy Secretary, and Under and Assistant Secretaries.

5. DEFINITIONS

- a. Agency. Organizational units of the Department, other than staff offices as defined in 5t 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, 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.

## 6. 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 and Program Analysis
OCIO	Office of the Chief Information Officer
OES	Office of the Executive Secretariat
OGC	Office of the General Counsel
OHCM	Office of Human Capital Management
OO	Office of Operations
OPI	Office of Primary Interest
SA	Secretary's Announcement
SM	Secretary's Memoranda

## 7. 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-778a: Secretary's Announcement
- d. Form AD-811: Departmental Regulation (first page)
- e. Form AD-812: Departmental Manual (first page)
- f. Form AD-812a: Amendment to Departmental Manual
- g. Form AD-813: Departmental Notice (first page)
- h. Form AD-814: Second page (Optional) to all Directives pages listed above

## 8 PROCEDURES

Departmental Manual (DM) 0100-001, Procedures for Preparing Departmental Directives contains procedures to use when implementing Departmental Regulation (DR) 0100-001.

END