

This document provides standards for writing an AI using the template posted on the DoD Issuances Websites. Use of the template is mandatory. Don't write over a prior version of the issuance.



Director of Administration and Management **ADMINISTRATIVE INSTRUCTION**

Enter the AI number. The Directives Division (DD) enters the date below the number after the issuance is signed.

NUMBER 99

Enter the AI title in title case in the subject line, in the font provided in the template (Times New Roman 12 point throughout the issuance). Don't exceed two lines. Don't use the same subject line for more than one issuance.

Enter the office symbol of the AI proponent followed by "WHS" or "DA&M" as appropriate.

For example: HRD, WHS
– or – PFPA, DA&M

1 blank line

SUBJECT: Standards for Administrative Instructions (AIs)

Format the AI according to Enclosure 1. For guidance on composition, go to the Writing Style Guide on the ODA&M internal link on the DoD Issuances Websites, Issuance Process pages, at <http://www.dtic.mil/whs/directives> (unclassified) and <http://www.dtic.smil.mil/whs/directives> (classified). Go to these same sites for all other "go to" guidance in these standards.

1 blank line

References: See Enclosure 1 In these standards, Enclosure 1 discusses AI format. Format references in Enclosure 1 of your AI according to Enclosure 2 of these standards.

1

2 blank lines

1. **PURPOSE.** **Required** section that is always located above the signature. (See Enclosure 3 for sample purpose statements.)

1

a. AIs implement DoD policy established in DoD Directives (DoDDs) or DoD Instructions (DoDIs) for the administration of the DoD Components that are serviced by Washington Headquarters Services (WHS). AIs can't establish DoD policy, but they can establish OSD policy in order to implement DoD policy established in DoDDs or DoDIs.

b. Organize and draft the text in the material above the signature block according to sections 1 through 8 above the signature of these standards.

1

c. In the purpose section, state concisely why the AI is being published. Include a reference to the chartering DoDD that authorizes the signer to publish the AI (for the Director of Administration and Management (D&AM), DoDD 5105.53; for the Director, WHS, DoDD 5110.4) and a reference to the DoDD or DoDI the AI implements. Identify any issuances the AI reissues or cancels.

1

2

First Page Footer - Section-1

Page numbering is preset in the footer throughout the template beginning on page 2.

Second page and subsequent headers are preset. Enter the issuance number in the right-aligned area provided. DD enters the date after the issuance is signed.

2. **APPLICABILITY.** **Required** section that’s always located above the signature, regardless of length. The applicability statement may be all-inclusive, but is more often specific to each AI. (See Enclosure 4 for sample statements.)

1

a. Compose the basic statement as: This AI applies to [enter the applicable DoD Components from the list in Figure 1, in the order shown] that are serviced by Washington Headquarters Services (WHS) (referred to collectively in this AI as the “WHS-Serviced Components”).

b. If the AI applies to other organizations, officials, or individuals; applies only to specific individuals or sub-elements within the Components; or applies only under certain conditions, separate the section into paragraphs as shown in Enclosure 4.

1

Figure 1. The DoD Components to Which AIs May Apply

1

<p>OSD (Includes the offices of the Under Secretaries of Defense, the Assistant Secretaries of Defense and the Assistants to the Secretary of Defense who report directly to the Secretary of Defense, the OSD Directors who report directly to the Secretary of Defense, the General Counsel of the DoD, and the Inspector General of the Department of Defense)</p> <p>Military Departments</p> <p>Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff</p> <p>Office of the Inspector General of the Department of Defense</p> <p>Defense Agencies</p> <p>DoD Field Activities</p>

1

2

3. **POLICY.** **Required** section that’s always located above the signature. Summarize the DoD policy the AI implements and cite the DoDD(s) or DoDI(s) that established the policy. AIs can only establish OSD policy. Keep this section to one or two paragraphs. (See Enclosure 5 for sample policy statements.) **Don’t** include responsibilities or procedures in the policy section.

4. **RESPONSIBILITIES.** **Required** section. If responsibilities exceed half a page, place them in an enclosure. (See Enclosure 6 for sample responsibility statements.)

a. Identify the key OSD and DoD Component heads or officials of the same level who’ll carry out the policy and list the overarching duties and obligations of each. Always assign responsibilities to officials, **not** to their offices or organizations. Responsibilities aren’t assigned below the DUSD/DASD or Defense Agency/DoD Field Activity director level. AIs shouldn’t assign responsibilities that will unnecessarily hamper the OSD and DoD Component heads in their efforts to efficiently manage their Component.

b. In assigning responsibilities, be specific but succinct. **Don’t** include procedures. State what the official’s responsible for doing, not how the official should do it. By clearly aligning the

responsibility with the official, the intent of the AI can be better accomplished.

c. List the Component heads being assigned responsibilities in this order:

- (1) The originating OSD Component head.
- (2) Other key officials within the originating OSD Component according to their levels.
- (3) Other key officials within the DoD in this order:

(a) The OSD Component heads, individually. If responsibilities are also assigned to the OSD Components collectively in your issuance, use this language for individual responsibilities: “In addition to the responsibilities in [section/paragraph] [Reference the section/paragraph assigning collective responsibilities], the [individual title]...” Go to “DoD and OSD Component Heads” for assistance in determining the individual OSD Component heads.

1. Under each, list any Assistant Secretaries, Deputy Under Secretaries, Deputy Assistant Secretaries, or Defense Agency or DoD Field Activity directors assigned responsibilities who are under the authority, direction, and control of the individual OSD Component head.

2. When assigning responsibilities to officials at any level subordinate to the OSD Component heads, use this language to name the position having authority over them: “Under the authority, direction, and control of the [OSD Component head], the [subordinate agency head]...”

(b) The DoD Component heads, collectively. If responsibilities are also assigned to the DoD Component heads individually in your issuance, the “individual” paragraph(s) must include the language described in paragraph 4d(3)(a) of this section. Go to “DoD and OSD Component Heads” for assistance in determining the individual DoD Component heads.

(c) The OSD Component heads, collectively.

(d) The Secretaries of the Military Departments, collectively.

(e) The Secretaries of the Military Departments, individually. If responsibilities are also assigned to the Service Secretaries collectively in your issuance, this paragraph must include the language described in paragraph 4d(3)(a) of this section.

(f) The Chairman of the Joint Chiefs of Staff.

(g) The combatant commanders, collectively. When tasking combatant commanders to take action outside of the Joint Staff or their combatant commands, use this language as applicable: “...through the Chairman of the Joint Chiefs of Staff, will” This language can only be used in the opening statement if **all** responsibilities being assigned are taking place outside of the Joint Staff or combatant command.

(h) The combatant commanders, individually. If responsibilities are also assigned to the combatant commanders collectively in your issuance, this paragraph must include the language described in paragraph 4d(3)(a) of this section.

(i) The directors of the Defense Agencies and/or DoD Field Activities, collectively.

5. **PROCEDURES.** **Required** section that will always be introduced above the signature. Place the procedures themselves in an enclosure or enclosures if they're more than half a page. Subdivide the enclosures into appendixes as appropriate.

6. **INFORMATION COLLECTION REQUIREMENTS.** **Required** if it applies to your AI. In the template, select and enter an information collections requirements paragraph from the options shown in Figure 2 as applicable. If information collections requirements exceed half a page, place them in an enclosure.

Figure 2. Information Collection Requirements Statements for DoD Issuances

– Option 1 – Single Information Collection Requirement with Report Control Symbol or Office of Management and Budget (OMB) Control Number Use the template in Option 1 to list a single information collection requirement with a report control number (assigned by the WHS/Directives Division DoD Internal Information Collections Officer) or an OMB control number (assigned by the WHS/Information Management Division Public Information Collections Officer).

#. **INFORMATION COLLECTION REQUIREMENTS.** [Enter formal information collection title and DD form number (as applicable)] referred to in paragraph [enter appropriate paragraph citation(s) where the information collection requirement's described or referred to in the issuance] of this AI has been assigned [enter report control symbol or Office of Management and Budget (OMB) control number] in accordance with the procedures in Directive-type Memorandum 12-004 (Reference (#)) and DoD 8910.1-M (Reference (#)). Replace “#” with the appropriate reference letter. The issuance mustn't be signed before the report control symbol or OMB control number is provided in the information collection requirements paragraph.

– Option 2 – Single Information Collection Requirement Submitted to Congress Use the template in Option 2 to list a single information collection requirement that is submitted directly to Congress).

#. **INFORMATION COLLECTION REQUIREMENTS.** [Enter formal information collection title and DD form number (as applicable)] referred to in paragraph [enter appropriate paragraph citation(s) where the information collection requirement's described or referred to in the issuance] is submitted to Congress in accordance with [cite the statutory requirements] and is coordinated with the Assistant Secretary of Defense for Legislative Affairs in accordance with the procedures in DoD Instruction 5545.02 (Reference (#)).

– Option 3 – Single Exempted Information Collection Requirement Use the template in Option 3 to list a single exempted information collection requirement.

#. **INFORMATION COLLECTION REQUIREMENTS.** [Enter formal information collection title and DD form number (as applicable)] referred to in paragraph [enter appropriate paragraph citation(s) where the information collection requirement's described or referred to in the issuance] of this AI is exempt from licensing with a report control symbol in accordance with paragraph [enter the appropriate paragraph citation in DoD 8910.1-M that applies] of DoD 8910.1-M (Reference (#)). Replace “#” with the appropriate reference letter.

Figure 2. Information Collection Requirements Statements for DoD Issuances, Continued

– Option 4 – Multiple Information Collection Requirements Use the template in Option 4 to list multiple information collection requirements, multiple exempted information collection requirements, or a combination of both. List multiple information collection requirement statements in the order that they appear in the issuance.

#. INFORMATION COLLECTION REQUIREMENTS

a. [Enter formal information collection title and DD form number (as applicable)] referred to in paragraph [enter appropriate paragraph citation(s) where the information collection requirement is described or referred to in the issuance] of this AI has been assigned [enter report control symbol or Office of Management and Budget (OMB) control number] in accordance with the procedures in Directive-type Memorandum 12-004 (Reference (#)) and DoD 8910.1-M (Reference (#)). Replace “#” with the appropriate reference letter. The issuance must not be signed before the report control symbol or OMB control number is provided in the information collection requirements paragraph.

b. [Enter formal information collection title and DD form number (as applicable)] referred to in paragraph [enter appropriate paragraph citation(s) where the information collection requirement is described or referred to in the issuance] is submitted to Congress in accordance with [cite the statutory requirements] and is coordinated with the Assistant Secretary of Defense for Legislative Affairs in accordance with the procedures in DoD Instruction 5545.02 (Reference (#)).

c. [Enter formal information collection title and DD form number (as applicable)] referred to in paragraph [enter appropriate paragraph citation(s) where the information collection requirement is described or referred to in the issuance] of this AI is exempt from licensing with a report control symbol in accordance with paragraph [enter the appropriate paragraph citation in DoD 8910.1-M that applies] of DoD 8910.1-M (Reference (#)). Replace “#” with the appropriate reference letter.

a. The information collection requirements section identifies information collections described in the issuance and verifies that the collection has been approved and licensed or approved for exemption. Use this section to identify forms, reports, record-keeping systems, or other requirements for collecting information from or furnishing information to the other DoD Components, non-DoD federal agencies, and the public. Don't use this section to establish policy, procedures, or responsibilities related to the collection of information.

b. For general guidance or a list of program authority documents, see the DoD Internal Information Collections website at http://www.dtic.mil/whs/directives/corres/intinfocollections/iic_home.html.

7. RELEASABILITY. **Required** section that's always located above the signature. In the template, select and enter a releasability paragraph from the options shown in Figure 3. Delete the others. For guidance on determining releasability, go to DoDD 5230.9, DoDI 5230.29, and SECDEF MESSAGE: INFORMATION SECURITY/WEBSITE ALERT. For guidance on obtaining Office of Security Review clearance to release an unclassified AI to the public, go to Processing DoD Issuances: AIs and DA&M/WHIS Issuances.

Figure 3. Releasability Statements for DoD Issuances

<p>– Option 1 –</p> <p>#. RELEASABILITY. Unlimited. This AI is approved for public release and is available on the Internet from the DoD Issuances Website at http://www.dtic.mil/whs/directives.</p>
<p>– Option 2 –</p> <p>#. RELEASABILITY. Restricted. This AI is approved for restricted release. It’s available to users with Common Access Card authorization on the Internet from the DoD Issuances Website at http://www.dtic.mil/whs/directives. [As a rule this option is used for FOUO issuances.]</p>
<p>– Option 3 –</p> <p>#. RELEASABILITY. Restricted. This AI is approved for restricted release. Authorized users may obtain copies on the SECRET Internet Protocol Router Network from the DoD Issuances Website at http://www.dtic.smil.mil/whs/directives.</p>
<p>– Option 4 –</p> <p>#. RELEASABILITY. Not releasable. The release and distribution of this AI will be approved only by [enter the originating OSD Component and contact information].</p>

8. **EFFECTIVE DATE.** This AI: **Required** section that’s always located above the signature.

a. State when the AI’s effective; e.g., Is effective [DD will insert date upon posting to the website]. – OR – Is effective on [specific date]. – OR – The information collection requirements established by this AI are effective on [specific date]. All other provisions of this AI are effective [Directives Division will insert date upon posting to the website].

b. Must be reissued, cancelled, or certified current within 5 years of its publication in accordance with DoD Instruction 5025.01 (Reference (#)). If not, it will expire effective [10 YEARS FROM PUBLICATION DATE - Directives Division will insert date upon posting to the website] and be removed from the DoD Issuances Website.

- 1
- 2
- 3

4 The signature block tab is set at 3.25 inch.

5 Start the signature block on 5th line.

1 Leave one blank line between the signature block and the enclosure listing. If there’s

Name of Signer ← AIs for which the proponent is within WHS are signed by the DA&M or the Director, WHS. AIs for which the proponent is within the office of the DA&M will be signed by the DA&M.
 Title

insufficient room to list all enclosures on the same page, move enclosure listing to the next page.

Enclosures The first enclosure will always be references. The glossary will always be the final item.

↑ 1. **Formatting an AI** For the purposes of this AI Standard, this enclosure deals with formatting.

Your first enclosure will always be References.

2. **Citing References in DoD Issuances**

3. **Sample Purpose Statements**

4. **Sample Applicability Statements**

5. **Sample Policy Statements**

↓ 6. **Sample Responsibility Statements**

Glossary

Indent the enclosure listing at the first tab stop. If there is only one enclosure, don't number it.

Enclosure

References

Glossary

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ENCLOSURE 1

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FORMATTING AN AI

1

2 blank lines

1. FORMAT BASICS

a. AI Length. An AI mustn't exceed 50 pages. If necessary, AIs may be separated into volumes (go to DoDM Standards for formatting examples), which is the recommended course of action. If the AO feels a single document is required, a page waiver request must be submitted for approval to the Director of Administration and Management (DA&M). Go to Supporting Documents for a sample of the page waiver request memorandum.

b. Font

(1) Use the fonts preset in the template (Times New Roman 12 point throughout).

(2) Use uppercase for section, enclosure, and appendix titles. Use title case for paragraph headings and for table and figure titles.

(3) Underline all titles and headings.

(4) Use bolding sparingly for emphasis, **not** underlining, italics, or color. Overuse of bolding will actually reduce the effectiveness of your emphasis, so only choose one or two words to emphasize.

(5) Use *italics* when using foreign (e.g., Latin) terms.

c. Margins, Spacing, and Alignment

(1) Use the margins preset in the template (1 inch top, bottom, and sides). Leave one blank line between paragraphs and subparagraphs. Leave two blank lines between sections.

(2) Center titles of enclosures, appendixes, tables, and figures.

(3) Follow the paragraph formatting guidance in Figure 4, **except** for the subject line, list of references, and table of contents, for which block-style format is preset in the template.

d. Headers, Footers, and Microsoft (MS) Word Sections

(1) Use the headers preset in the template. Enter the AI number in the second page header, right-aligned, after the AI acronym. No entry is required in the footer of the material above the signature.

(2) The template provides MS Word sections for a table of contents, the first three enclosures (references, responsibilities, and procedures), and a glossary. The footers are preset to include the identifier in uppercase, right-aligned. (See the footers to the enclosures in these standards for examples.) If you don't need a preset enclosure, delete the applicable MS Word

section and adjust the subsequent footer(s) as necessary.

(3) If you insert additional MS Word sections for enclosures, carry the header forward and adjust the text in the footer to read: “ENCLOSURE [applicable #].” If you insert additional sections for appendixes, carry the header forward and adjust the text in the footer to read: “APPENDIX [applicable #] TO ENCLOSURE [applicable #].”

(4) When there’s only one enclosure and/or one appendix, don’t enter a number in the footer (“APPENDIX TO ENCLOSURE”).

e. Footnotes and Endnotes. **Don’t** use endnotes or the word “NOTE” in DoD issuances. Use footnotes **only** within the reference list to indicate where the reader may obtain publications not readily found on an official Government website using an Internet search engine. To enter footnotes, use the “Insert Footnote” function on the “References” tab.

f. References. For the reference list, use the spacing and alignment provided in the first enclosure of the template. Format reference citations in the list and in the text according to Enclosure 2.

2. PARAGRAPH NUMBERING AND INDENTATION

a. Use the DoD issuance section and paragraph numbering format illustrated in Figures 4 through 6, as applicable. Text not in these formats **must** be inserted as a figure or table in the issuance; the only exception is for providing mailing addresses within the text.

b. If an enclosure has only one main section, it must be numbered as illustrated in Figure 5.

c. If an enclosure has **only** sections (there are no subparagraphs in the enclosure), it must be numbered as illustrated in Figure 6.

3. TABLE OF CONTENTS. Use of the table of contents is encouraged for all AIs. It is mandatory for AIs longer than 25 pages. Format the table of contents according to the AI template and Figure 7.

Figure 4. DoD Issuance Section and Paragraph Numbering Format

1. SECTION TITLE. When you have no paragraphs in a section or when you wish to place explanatory material before the subsequent paragraphs, place a period after the section title and begin the text on the same line.

2. SECTION TITLE

Leave two blank lines between sections. When no text follows a title or heading, **don't** place a period at the end of title/heading.

a. Paragraph Heading. To have a paragraph "a.," you must have a paragraph "b." To have a paragraph "(1)," you must have a paragraph "(2)." Paragraphs on the same level (e.g., "a", "b", "c", "d") must be consistent in their formatting; either all must have a heading, or none.

(1) Use tab stop increments of .25" to indent the first line of paragraphs. Second and succeeding lines return to the left margin. **Don't** use the AutoFormat function in MS Word. (To turn this function off, go to "MS Word Mysteries" on the DoD Issuances Website homepage.

(a) Paragraph Heading. Don't tab between numbers and text. Use two spaces.

(b) Paragraph Heading. Don't use more than five tabs (no lower than the fifth level).

1. Paragraph Heading

a. This is the fifth level. **Don't** create paragraphs below this level.

b. If you have material subordinate to this level, reorganize the material at a higher level.

2. Paragraph Heading

(c) Paragraph Heading

(2) Because paragraph 2a(1) has no heading, this paragraph has none.

b. Paragraph Heading. Because paragraph 1a has a heading, this paragraph must have one.

Figure 5. Format for Enclosure With One Section

<p><u>ENCLOSURE #</u> 1 blank line <u>ENCLOSURE NAME</u></p>
<p>1 2 blank lines Section text.... Don't number the paragraph. Don't use a section title. 1 blank line a. <u>Paragraph Heading</u> Header use is optional, but must be consistent (e.g., if paragraph "a" has a header, than paragraph "b" must, as well).</p>
<p>(1) <u>Paragraph Heading</u></p>
<p>(a) <u>Paragraph Heading</u></p>
<p>1. <u>Paragraph Heading</u></p>
<p>a. This is the fifth level. Don't create paragraphs below this level.</p>
<p>b. If you have material subordinate to this level, reorganize the material at a higher level.</p>

Figure 6. Format for Enclosure With Sections Only

<p><u>ENCLOSURE #</u> 1 blank line <u>ENCLOSURE NAME</u></p>
<p>1 2 blank lines 1. <u>SECTION TITLE</u>. Number the paragraph. Use of section titles is optional, but must be consistent (e.g., if section 1 has a title, then following sections must, as well). 1 2 blank lines 2. <u>SECTION TITLE</u>.</p>
<p>OR</p>
<p>1. Section text.... If section titles aren't used, simply number the paragraph and begin with text. 1 2. Section text.... Only separate sections without titles by one blank line.</p>

Figure 7. AI Table of Contents Format

<u>TABLE OF CONTENTS</u>	
1	Underline the table of contents title but not the items in the list. Leave two blank lines after the title.
2	blank lines
ENCLOSURE 1:	ENCLOSURE TITLEPage #
Begin the table with the first enclosure. Use the tab settings provided in the template, which are: left-aligned at .25, .5, and .75 inch; right-aligned at 6.5 inch with the leader "2" (.....).	
1	ENCLOSURE 2: ENCLOSURE TITLE#
Leave one blank line after enclosure and appendix listings. Use the font provided in the template, which is the same font used throughout the text (uppercase for enclosure, section, and appendix titles; title case for paragraph headings and figure and table titles).	
1	SECTION TITLE.....#
SECTION TITLE	Titles should accurately reflect the contents.....#
Paragraph Heading	Inclusion of first-level paragraph headings is optional; however, if you include them for one section, you must include them for all.....#
Paragraph Heading	Keep titles and headings as brief as possible.....#
SECTION TITLE	When you must use a title or heading that extends into a second line, use block style in keeping with the tab settings#
Paragraph Heading	Don't go beyond first-level paragraph headings#
Paragraph Heading#
SECTION TITLE	Enter all titles and headings exactly as they appear in the issuance, including any acronyms that may be established in the issuance text; they aren't considered "established" in the table of contents.#
1	APPENDIX(ES)
1.	APPENDIX TITLE Don't list section and paragraph numbers. If there is only one appendix, don't use numbers.#
2.	APPENDIX TITLE Appendixes are listed under the enclosure to which they apply#
1	GLOSSARY#
1	PART I: ABBREVIATIONS AND ACRONYMS#
1	PART II: DEFINITIONS.....#
1	TABLES
End the table of contents with a list of tables and figures if applicable.	
1	1. Table Title Do list figure and table numbers.#
1	2. Table Title.....#
1	FIGURE
When there is only one table or figure, don't number it.	
1	Figure Title.....#

4. ENCLOSURES AND APPENDIXES

a. Use the reference enclosure in the template. Use the responsibilities or procedures enclosures when responsibilities or procedures exceed half a page.

b. The organization of the procedures enclosures will depend upon the AI content and complexity. Procedures may be structured in step-by-step sequence, by subject matter with related requirements, by situation and response, or on a combination of these and/or other factors. When the procedures are extensive and involve two or more distinct categories of content, you may want to separate them into two or more enclosures.

c. You may also use an additional enclosure or enclosures to publish other information that adds to or supplements the material above the signature of the AI. Use an appendix or appendixes to publish information that adds to or supplements an enclosure.

d. **Don't** use an issuance itself or other reference as an enclosure or appendix.

e. Refer to enclosures in the text above the signature (e.g., "Enclosure 3 provides sample purpose statements."); refer to appendixes in the text of the enclosure they support (e.g., "See Appendix 1 for samples of reference citations frequently used in DoD issuances."). Number enclosures and appendixes in the order they appear in the text. Capitalize the words "Enclosure" and "Appendix" **only** when referring to a specific enclosure or appendix by number. Use lowercase when referring to an enclosure or enclosures in general (e.g., "This enclosure..." - and - "As listed in the enclosures...").

f. Center and underline the enclosure or appendix identifier and title at the top of the first page. Leave one blank line between identifier and title; leave two blank lines between title and text. (See the enclosures and appendix to these standards for examples.)

g. List enclosures immediately after the signature block. (See the signature page of these standards for guidelines.) List appendixes to an enclosure on the last page of the enclosure concerned, in the same format you listed enclosures below the signature block. (See the last page of Enclosure 2 for an example.)

5. TABLES, FIGURES, AND FORMS

a. Use tables to present information that is best communicated in tabular rather than paragraph form (i.e., arranged systematically by columns and/or rows), such as that in tables in these standards. Use a figure to present information that is best communicated as an illustration (image or drawing; due to file size restrictions, photos shouldn't be used), or as example (textual depiction) with or without instructional material, such as that in the figures in these standards. If you wish to place text in an issuance in a format other than the standard (Figure 4), you must insert the text in a figure or table. The **only** exception is when providing a mailing address for information.

b. A table or figure may be used above the signature and in enclosures and appendixes. Identify it using the word "Table" or "Figure," as appropriate, followed by the number assigned

according to the order in which it appears in the text. Table and figure numbering is not cross-sequential; you may have a “Table 1” and a “Figure 1” in the same issuance. If there is only one table and/or figure, don’t number it.

c. Place the table or figure on the same page or as close to the text it supports as possible. Don’t place the table or figure in the middle of a paragraph.

(1) Font size – but **not** style – may be adjusted to accommodate internal requirements, but may not be smaller than 9 point font.

(2) Use bolding sparingly for emphasis; don’t use underlining or italics.

(3) Use underlining for titles and headings only.

(4) If using color of any kind in a table or figure, the color must be light enough so the table or figure is legible when printed in black and white hard copy.

d. Center the table or figure on the page. Center the table or figure identifier and number, followed by the title, at the top of the table or figure. If the table or figure carries over to the next page, **repeat the identifier** at the top of the page, followed by a comma and the word “Continued.” (See the tables and figures in these standards for examples. See Table 1 of the Appendix to Enclosure 2 for an example of a table breaking across a page.)

e. In general, forms can’t be included in AIs, as subsequent updates of the form will make the issuance obsolete. Instead the AI should refer to the form (e.g., SecDef (SD) Form 818, “Comments Matrix for DoD Issuances”) and identify its location - for DoD forms, this would be the DoD Forms Management Program website at <http://www.dtic.mil/whs/directives/infomgt/forms/formsprogram.htm>. Once the form has been identified, subsequent references within the AI need only include the number (e.g., “SD Form 818”).

6. GLOSSARY

a. A list of acronyms and abbreviations in the Glossary is **mandatory** if the AI is over two pages and uses acronyms other than “DoD,” “OSD,” or “U.S.”

b. Always place the Glossary at the end of the AI, after all enclosures and appendixes. When referring to the Glossary in the text, always capitalize “Glossary.” Format the Glossary following the guidance in the Glossary at the end of these standards and as provided in the glossary section of the template.

ENCLOSURE 2CITING REFERENCES IN DoD ISSUANCES1. GENERAL RULESa. Citations in the Reference List

(1) With some exceptions, including legal references, citations in the reference list are organized by type of issuance and/or originator, exact title or subject in quotation marks, and month, day, year **not** followed by a period. (See the appendix to this enclosure for samples.)

(2) List references in the order they appear in the text. Use lower case letters in parentheses to identify them.

(3) If a reference citation runs into the second line, use the block style format preset in the template. The month and day of publication must be on the same line. When citing a DoD issuance that has been changed or certified as current, use the original publication date, **not** the change or recertification date, and indicate “as amended” after the date.

(4) When an AI contains more than 26 references, use a double lettering system (i.e., (aa) through (az), followed by (ba) through (bz), and so on). Don’t use triple letters.

(5) Don’t establish or use acronyms in the reference list; include them only if they are a part of the issuance title, in parentheses within the title within quotation marks (see Figure 8). Exception: joint-Service publications may use the acronym title string (e.g., DLAI 4140.55/AR 735-11-2/SECNAVINST 4355.18A/AFJMAN 23-215) but the acronyms used -- in this example “DLAI,” “AR,” “SECNAVINST,” and “AFJMAN” -- must be included in the Glossary.

(6) When cancelling an issuance with the AI, place the words “hereby cancelled” in parentheses at the end of the citation in the reference list (see Figure 8).

(7) Use a footnote to tell readers precisely where to find reference documents that aren’t readily found on a Government website using an Internet search engine, but **don’t** hyperlink to the website.

(8) Don’t cite unpublished material such as drafts and documents not available to readers. Don’t cite issuances in the process of being cancelled (except those being cancelled by the directive being drafted). Don’t include a reference document as an enclosure.

b. Citations in the Text. (See the appendix to this enclosure for samples.)

(1) **Don’t** use the term “under,” which is reserved in DoD issuances for the authority derived from an officer or official. Use “pursuant to,” or “in accordance with” (Go to Writing Style Guide for applicability.)

Figure 8. Reference List

AI 99, March 31, 2007

ENCLOSURE 1

REFERENCES

(a) Administrative Instruction 99, Processing Complaints of Discrimination,” January 11, 1979 (hereby cancelled)

(b) DoD Directive 5110.4, “Washington Headquarters Services (WHS),” October 19, 2001

(c) Executive Order 11478, “Equal Employment Opportunity in the Federal Government,” August 8, 1969, as amended

(d) Part 1614 of Title 29, Code of Federal Regulations

(e) DoD Instruction 5025.01, “DoD Directives Program,” October 28, 2007, as amended

(f) Equal Employment Opportunity Commission Management Directive 110, “Federal Sector Complaints Processing Manual,” November 9, 1999¹

(g) Administrative Instruction 106, “Collaborative Resolution Program,” October 31, 2005

(h) Part 1201.151 of Title 5, Code of Federal Regulations

(i) Section 552a of Title 5, United States Code

(j) DoD 1400.25-M, Volume 2001, “DoD Civilian Personnel Manual (CPM): Defense Civilian Intelligence Personnel System (DCIPS) Introduction,” December 29, 2008

(k) Section 2170 of Title 50, United States Code Appendix (also known as “The Defense Production Act of 1950,” as amended)

¹ Copies may be obtained on the Internet at <http://www.eeoc.gov>

Availability statements **aren't** used for SecDef and DepSecDef memorandums.

3

ENCLOSURE 1

(2) Capitalize the word “Reference” and retain the parentheses around the reference letter.

(3) Always establish the reference on first use by citing the type of issuance and/or originator followed by the reference letter. On subsequent citations of the same reference, cite only the reference letter, e.g.:

(a) On initial citation – “DoD Directive 1234.56 (Reference (g)).”

(b) On subsequent citation – “Reference (g).”

(4) When a citation in the reference list contains more than one volume, or for the United States Code (U.S.C.) and Code of Federal Regulations (CFR), more than one section or part, cite the specific volume, section, or part that pertains to the text, followed by the reference letter; e.g.,

“pursuant to Volume 2 of DoD Manual 4567.89 (Reference (c)).” Follow this same practice when you wish to cite a specific paragraph within a reference that is not broken into volumes, sections, or parts; e.g.:

(a) On initial citation – “in accordance with Enclosure 1, paragraph 1b of DoD Instruction 1234.56 (Reference (g)).”

(b) On subsequent citation – “in accordance with Enclosure 1, paragraph 1b of Reference (g).”

(5) When citing multiple documents at once would make establishing the references in accordance with paragraph 1b(3) awkward, the references may be grouped together (e.g., “...in accordance with References (a) through (p)”). On subsequent first citations of the individual documents so designated (References (a) through (p) in this example), the reference will be established and assigned a letter in accordance with paragraphs 1a(2) and 1b(3) of this enclosure.

2. CITING MILITARY DEPARTMENT AND JOINT SERVICE PUBLICATIONS. (See appendix for examples.) Don’t cite Military Department or joint Service publications in DoD issuances, **except**:

a. When including a military or associated term in the definitions section or Glossary (cite Joint Publication 1-02).

b. When a Military Department or joint Service publication is the **sole** document pertaining to establishing or implementing a crucial policy.

3. LEGAL CITATIONS

a. When to Cite

(1) When a DoD issuance has implemented an Executive order (E.O.), Public Law (PL), or section of the U.S.C., cite the DoD issuance, not the order, law, or code.

(2) When a PL has been codified in the U.S.C., cite the title and section of the U.S.C., not the PL.

(3) For a PL not included in the U.S.C., cite the PL and applicable section. Verify the proper statutory authority with the Office of the DoD General Counsel when drafting the issuance.

(4) Cite the CFR when referencing a document that has been published in the CFR. Cite the Federal Register (FR) for documents that have been published in the FR but not in the CFR.

b. How to Cite

(1) U.S.C. and CFR

(a) Don't cite the subject of the title's part, section, or chapter. If citing more than one part, section, or chapter of a title, simply cite the title in Enclosure 1 and specify part, section, or chapter within the text. In the text, always cite the specific part(s), section(s), or chapter(s) that pertain to the text, followed by the reference letter; e.g.:

1. In the reference list – "(h) Title 10, United States Code"
2. On initial citation – "pursuant to section 7890 of Title 10, United States Code (Reference (h))."
3. On subsequent citation – "pursuant to sections 1234 and 5678 of Reference (h)."

(b) If a codified law is more well known by a common name, it may be cited within the body of the issuance by referring to the codified information first, then the common name (e.g., "pursuant to section 2170 of Title 50, United States Code Appendix, also known and referred to in this AI as "The Defense Production Act of 1950," as amended (Reference (g))."). Further references in the AI will state "The Defense Production Act of 1950." Within the Reference section, the citation should reflect the same format and include the information that the Act has been amended, if appropriate (see Figure 9, Reference (j)).

(2) In the reference list, cite the PL title and date; if citing more than one section of a PL in your issuance, don't list the individual sections. In the text, cite the specific section that pertains to the text, followed by the reference letter.

4. AMENDMENTS AND CURRENT EDITIONS. Many government publications are now maintained on the Internet and are amended or updated electronically.

a. Citations of PLs and E.O.s that may be amended by subsequent laws should include the original publication date and note that it has been amended – e.g., Executive Order 13178, "Northwestern Hawaiian Islands Coral Reef Ecosystem Reserve," December 4, 2000, as amended (in this case the E.O. was amended by E.O. 13196 in 2001). You won't document what has amended the PL or E.O. in the AI, as this information is easily found online.

b. Documents that are maintained online and have multiple or undefined publication dates must use the citation "current edition" in place of the publication date in the reference list.

(1) DoD 7000.14-R, "Department of Defense Financial Management Regulations (FMRs)," current edition [16 volumes in the Regulation; each volume has a different publication date and is updated online.](#)

(2) Joint Publication 1-02, "Department of Defense Dictionary of Military and Associated Terms," current edition [Maintained online and updated regularly.](#)

Appendix
Reference Citations Frequently Used in DoD Issuances

APPENDIX TO ENCLOSURE 2

REFERENCE CITATIONS FREQUENTLY USED IN DoD ISSUANCES

Accepted abbreviations for the types of references are provided in the first column of Tables 1 and 2. Use them only in the text and only after establishing them on first use in the text.

Table 1. Frequently Used Reference Citations

REFERENCE	FORMAT USED IN ENCLOSURE 1	FORMAT USED IN TEXT
Administrative Instruction (AI)	Administrative Instruction 27, "Control of North Atlantic Treaty Organization Classified Documents," October 26, 2006	Administrative Instruction 27
Code of Federal Regulations (CFR)	<u>When one title and one part are referenced</u> (a) Part 40 of Title 32, Code of Federal Regulations	<u>First in-text citation</u> ...in accordance with part 40 of Title 32, Code of Federal Regulations (Reference (a)) <u>Second in-text citation</u> ...in accordance with Reference (a)
	<u>When one title and more than one part are referenced</u> (a) Title 32, Code of Federal Regulations	<u>First in-text citation</u> ...in accordance with part 40 of Title 32, Code of Federal Regulations (Reference (a)) <u>Second in-text citation</u> ...in accordance with part 64 of Reference (a)
	<u>When more than one title is referenced</u> (a) Title 32, Code of Federal Regulations (b) Title 48, Code of Federal Regulations	<u>First in-text citation of first reference</u> (Establish the acronym.) ...in accordance with part 40 of Title 32, Code of Federal Regulations (CFR) (Reference (a)) <u>Second in-text citation of first reference</u> ...in accordance with part 64 of Reference (a) <u>First in-text citation of second reference</u> ...in accordance with subpart 227.71 of Title 48, CFR (Reference (b)) <u>Second in-text citation of second reference</u> ...in accordance with subpart 229.70 of Reference (b)
DoD Directive (DoDD)	DoD Directive 3020.40, "Defense Critical Infrastructure Program (DCIP)," August 19, 2005	DoD Directive 3020.40
DoD Instruction (DoDI)	DoD Instruction 3020.42, "Defense Continuity Plan Development," February 17, 2006	DoD Instruction 3020.42
Directive-type Memorandum (DTM)	Directive-type Memorandum 09-019, "Policy Guidance for Foreign Ownership, Control, or Influence (FOCI)," September 2, 2009	Directive-type Memorandum 09-019

Table 1. Frequently Used Reference Citations, Continued

REFERENCE	FORMAT USED IN ENCLOSURE 1	FORMAT USED IN TEXT
DoD Manual (DoDM)	DoD Manual 4165.66, "Base Realignment," March 1, 2007	DoD Manual 4165.66
	DoD Manual 1400.25, Volume 2001, "DoD Civilian Personnel Manual (CPM): Defense Civilian Intelligence Personnel System (DCIPS) Introduction," December 29, 2008	Volume 2001 of DoD Manual 1440.25
DoDM that hasn't been reissued under 2007 version of DoDI 5025.01	DoD 1100.19-M "Wartime Manpower Planning System ADP System Users Manual," March 13, 1987	DoD 1100.19-M
DoD Publications (To be discontinued on reissuance as manuals)	<u>DoD Guide</u> DoD 7000.3-G, "Preparation and Review of Selected Acquisition Reports," May 20, 1980	DoD 7000.3-G
	<u>DoD Inventory</u> DoD 4100.33-INV, "Department of Defense Commercial Activities Inventory Report and Five Year Review Schedule FY 1991," May 7, 1992	DoD 4100.33-INV
	<u>DoD Regulation</u> DoD 1330.17-R, "Armed Services Commissary Regulations (ASCR)," April 1987	DoD 1330.17-R
DoD Travel Regulations: Joint Federal Travel Regulation (JFTR) and Joint Travel Regulation (JTR)	Joint Federal Travel Regulations, Volume 1, "Uniformed Service Members," current edition	Joint Federal Travel Regulations, Volume 1
	Joint Travel Regulations, Volume 2, "Department of Defense Civilian Personnel," current edition	Joint Travel Regulations, Volume 2
Executive Order (E.O.)	Executive Order 13392, "Improving Agency Disclosure of Information," December 14, 2005	Executive Order 13392
Federal Register (FR)	Page 12345 of Volume 10, Federal Register, June 12 2007	...in accordance with page 12345 of Volume 10, Federal Register
Joint Publication 1-02 (JP 1-02)	Joint Publication 1-02, "Department of Defense Dictionary of Military and Associated Terms," current edition	Joint Publication 1-02
Manual for Courts-Martial (MCM)	Manual for Courts-Martial, United States, 2000	Manual for Courts-Martial 2000
	paragraph 44 of Manual for Courts-Martial, United States, 2000	...in accordance with paragraph 44 of Manual for Courts-Martial 2000

Table 1. Frequently Used Reference Citations, Continued

REFERENCE	FORMAT USED IN ENCLOSURE 1	FORMAT USED IN TEXT
Memorandums	Secretary of Defense Memorandum, "Regulatory Relief Task Force," October 15, 2006	Secretary of Defense Memorandum
	Assistant Secretary of Defense for Health Affairs Memorandum, "Healthcare for Employees," January 13, 2007	Assistant Secretary of Defense for Health Affairs Memorandum
Memorandum of Understanding (MOU)	Memorandum of Understanding Between the Department of Defense and the Department of Education, August 16, 1982	Memorandum of Understanding
National Security Decision Directive (NSDD)	National Security Decision Directive-18, "International Trade and Transfer," July 2, 1990	National Security Decision Directive-18
National Security Presidential Directive (NSPD)	National Security Presidential Directive-9, "Combating Terrorism," October 25, 2001	National Security Presidential Directive-9
Office of Management and Budget (OMB) Bulletin	Office of Management and Budget Bulletin No. 81-17, "Debt Collection," April 27, 1981	Office of Management and Budget Bulletin No. 81-17
Office of Management and Budget (OMB) Circular	Office of Management and Budget Circular No. A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education," September 30, 1999	Office of Management and Budget Circular No. A-110
Presidential Decision Directive (PDD)	Presidential Decision Directive No. 63, "Critical Infrastructure Protection," May 22, 1998	Presidential Decision Directive No. 63
Public Law (PL)	Section 8070 of Public Law 102-172, "The Department of Defense Appropriations Act for Fiscal Year 1992," November 26, 1991	...in accordance with section 8070 of Public Law 102-172
United States Code (U.S.C.)	<u>When one title and one section are referenced</u> (a) Section 801 of Title 10, United States Code	<u>First in-text citation</u> ...in accordance with section 801 of Title 10, United States Code (Reference (a)) <u>Second in-text citation</u> ...in accordance with Reference (a)
	<u>When one title and more than one section are referenced</u> (a) Title 10, United States Code	<u>First in-text citation</u> ...in accordance with section 801 of Title 10, United States Code (Reference (a)) <u>Second in-text citation</u> ...in accordance with section 940 of Reference (a)

Table 1. Frequently Used Reference Citations, Continued

REFERENCE	FORMAT USED IN ENCLOSURE 1	FORMAT USED IN TEXT
	<p><u>When more than one title is referenced</u> (a) Title 10, United States Code (b) Title 16, United States Code</p>	<p><u>First in-text citation of first reference</u> (Establish the acronym.) ...in accordance with section 801 of Title 10, United States Code (U.S.C.) (Reference (a))</p> <p><u>Second in-text citation of first reference</u> ...in accordance with section 940 of Reference (a)</p> <p><u>First in-text citation of second reference</u> ...in accordance with section 470 of Title 16, U.S.C. (Reference (b))</p> <p><u>Second in-text citation of second reference</u> ...in accordance with section 472 of Reference (b)</p>
	<p><u>When codified law has a common name</u> (a) Section 2170 of Title 50, United States Code Appendix (also known as “The Defense Production Act of 1950,” as amended) (b) Chapter 47 of Title 10, United States Code (also known as “The Uniform Code of Military Justice (UCMJ)”)</p>	<p><u>First in-text citation</u> (Establish the acronym.) ...section 2170 of Title 50, United States Code (U.S.C.) Appendix, also known and referred to in this AI as “The Defense Production Act of 1950,” as amended (Reference (a)).</p> <p>...chapter 47 of Title 10, U.S.C., also known and referred to in this AI as “The Uniform Code of Military Justice (UCMJ)” (Reference (b)).</p> <p><u>Subsequent in-text citation</u> ...The Defense Production Act of 1950 ...the UCMJ</p>
	<p><u>When citing annually recurring provisions</u> (a) Section 8061 of Public Law 111-118, “The Department of Defense Appropriations Act for Fiscal Year 2010,” December 19, 2009 (also known as “The Leahy Human Rights Provisions”), and similar annually recurring provisions, if enacted, in subsequent years.</p>	<p><u>First in-text citation</u> ...section 8061 of Public Law 111-118 (also known as “The Leahy Human Rights Provisions”), or a similar annually recurring provision, if enacted, in subsequent years (Reference (a))</p> <p><u>Subsequent in-text citation</u> ...in accordance with Reference (a)</p>
<p>Website, when the reference is located only on a website</p>	<p>DoD Issuances Website, “The Issuance Process,” http://www.dtic.mil/whs/directives/corres/writing.htm</p>	<p>DoD Issuances Website</p>

Table 1. Frequently Used Reference Citations, Continued

REFERENCE	FORMAT USED IN ENCLOSURE 1	FORMAT USED IN TEXT
OTHER miscellaneous issuances. In the list, enter originator, title, and date. In the text, cite originator and type of issuance.	Secretary of Defense, “National Military Strategy to Combat Weapons of Mass Destruction,” February 13, 2006	Secretary of Defense Strategy
	Organization for the Prohibition of Chemical Weapons, “Convention on the Prohibition of the Development, Production, Stockpiling and use of Chemical Weapons and on Their Destruction,” ratified April 24, 1997	Organization for the Prohibition of Chemical Weapons Convention
	Joint Requirements Office for CBRN Defense, “Joint Service (CBRN) Defense Modernization Plan,” 2008 [in this example, the originating office uses the acronym in its official name]	Joint Requirements Office for CBRN Defense Plan

Table 2. Military Department and Joint-Service Reference Citations

REFERENCE	FORMAT USED IN REFERENCE LIST	FORMAT USED IN TEXT
Joint-Service Publications	DLAI 4140.55/AR 735-11-2/SECNAVINST 4355.18A/AFJMAN 23-215, "Reporting of Supply Discrepancies," August 6, 2001 ¹	DLAI 4140.55/AR 735-11-2/SECNAVINST 4355.18A/AFJMAN 23-215 ¹
Military Handbook (MIL-HDBK)	Military Handbook MIL-HDBK-1013/1A, "Design Guidelines for Physical Security of Facilities," December 15, 2003	Military Handbook MIL-HDBK-1013/1A
Military Detail Specification (MIL-DTL)	Military Detail Specification MIL-DTL-43607H, "Padlock, Key Operated, High Security, Shrouded Shackle," March 10, 1998, with Notice 1, May 22, 2000	Military Detail Specification MIL-DTL-43607H
Military Specification (Acronym is based on type of specification.)	Military Specification MIL-H-29181B, "Hasp, High Security, Shrouded, for High and Medium Security Padlock," May 10, 1994	Military Specification MIL-H-29181B
	Military Specification MIL-P-43607G, "Padlock, Key Operated, High Security, Shrouded Shackle," June 18, 1986, as amended	Military Specification MIL-P-43607G
Military Standard (MIL-STD)	Military Standard MIL-STD-672A "Aviation Calibrations," June 9, 2006	Military Standard MIL-STD-672A
¹ Acronyms used in joint Service publications don't need to be spelled out in the reference section or established in their first use in the text; however, the acronyms must be defined in Part I of the Glossary.		

ENCLOSURE 3SAMPLE PURPOSE STATEMENTSFigure 9. Statements When the Authorizing Issuance Provides the Purpose

1. PURPOSE. This administrative instruction (AI) reissues AI 102 (Reference (a)) in accordance with the authority in DoD Directive 5110.4 (Reference (b)) to implement policy and update responsibilities and procedures for developing, managing, submitting, and publishing rulemaking documents and notices in the Federal Register and Code of Federal Regulations.

Figure 10. Statements When the Authorizing Issuance Does Not Provide the Purpose

1. PURPOSE. This administrative instruction (AI) reissues AI 37 (Reference (a)) in accordance with the authority in DoD Directive 5400.07 (Reference (b)) to implement policy and update responsibilities and procedures for the Civilian Employee's Administrative Grievance System required by part 771 of Title 5, United States Code (Reference (c)) [[issuance providing purpose](#)].

Figure 11. Statements Canceling Another Issuance

1. PURPOSE. This administrative instruction (AI):
- a. Reissues AI 15 (Reference (a)) in accordance with the authority in DoD Directive (DoDD) 5110.04 (Reference (b)).
 - b. Implements policy, assigns responsibilities, and provides procedures for the OSD Records Management Program consistent with DoDD 5105.02 (Reference (c)) and chapters 29, 31, and 33 of Title 44, United States Code (Reference (d)).
 - c. Incorporates and cancels AIs 22 and 29 (References (e) and (f)).

ENCLOSURE 4

SAMPLE APPLICABILITY STATEMENTS

Figure 12. All-inclusive Applicability Statement

2. APPLICABILITY. This AI applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Office of the Inspector General of the Department of Defense, the Defense Agencies, and the DoD Field Activities that are serviced by Washington Headquarters Services (WHS) (referred to collectively in this AI as the “WHS-Serviced Components”). Establish acronyms in the applicability paragraph only if they are used in the AI. The acronyms “OSD,” “DoD,” and “U.S.” don’t need to be established.

Figure 13. AI-Specific Applicability Statements

When the statement applies to only certain of the DoD Components that may be serviced by WHS.

Sample 1:

2. APPLICABILITY. This AI applies to OSD. In this example, no parenthetical statement is needed as the term “WHS-Serviced Components” is not used in the AI.

Sample 2:

2. APPLICABILITY. This AI applies to OSD, the Defense Agencies, and the DoD Field Activities in the National Capital Region that are serviced by Washington Headquarters Services (WHS) (referred to collectively in this AI as the “WHS-Serviced Components”). In this example, applicability is restricted to the National Capital Region.

Sample 3:

2. APPLICABILITY. This AI applies to OSD, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Defense Advanced Research Projects Agency, the Defense Security Cooperation Agency, the Missile Defense Agency, and the DoD Field Activities that are serviced by Washington Headquarters Services (WHS) (referred to collectively in this AI as the “WHS-Serviced Components”).

When the statement emphasizes the exclusion of a particular Component.

Sample 1:

2. APPLICABILITY. This AI:

a. Applies to OSD, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, and the Military Departments (referred to collectively in this AI as the “WHS-Serviced Components”).

b. Does not apply to the Defense Agencies or the DoD Field Activities.

Sample 2:

2. APPLICABILITY. This AI:

a. Applies to OSD, the Defense Agencies, and the DoD Field Activities in the National Capital Region that are serviced by Washington Headquarters Services (WHS) (referred to collectively in this AI as the “WHS-Serviced Components”). In this example, applicability is restricted to the National Capital Region.

b. Does not apply to the Office of the Chairman of the Joint Chiefs of Staff or the Joint Staff or the Military Departments.

Figure 13. AI-Specific Applicability Statements, Continued

When the statement emphasizes the exclusion of an individual (or organization) not included in the basic statement:

2. APPLICABILITY. This AI:

a. Applies to OSD, the Defense Agencies, and the DoD Field Activities that are serviced by Washington Headquarters Services (WHS) (referred to collectively in this AI as the “WHS-Serviced Components”).

b. Does not apply to the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff or the Joint Staff, or the U.S. Representative to the NATO Military Committee.

When the AI applies to certain individuals (or organizations) not included in the basic statement:

2. APPLICABILITY. This AI applies to:

a. OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Office of the Inspector General of the Department of Defense, the Defense Agencies, and the DoD Field Activities that are serviced by Washington Headquarters Services (WHS) (referred to collectively in this AI as the “WHS-Serviced Components”).

b. Applicants seeking civilian employment with the WHS-Serviced Components.

When the AI does not apply to certain persons in (or sub-elements of) the organizations in the basic statement:

2. APPLICABILITY. This AI:

a. Applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Office of the Inspector General of the Department of Defense, the Defense Agencies, and the DoD Field Activities that are serviced by Washington Headquarters Services (WHS) (referred to collectively in this AI as the “WHS-Serviced Components”).

b. Does not apply to members of the Military Services, or to civilian employees who are:

(1) Reemployed annuitants in the competitive or excepted service.

(2) Serving under temporary appointments with a definite time limit.

(3) Serving a probationary or trial period, or who have completed less than 1 year of current continuous employment.

When the AI does not apply under certain circumstances:

2. APPLICABILITY. This AI:

a. Applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Office of the Inspector General of the Department of Defense, the Defense Agencies, and the DoD Field Activities that are serviced by Washington Headquarters Services (WHS) (referred to collectively in this AI as the “WHS-Serviced Components”).

b. Does not apply to property and materiel for which accountability and inventory control requirements are prescribed in DoD Manual 4140.01 and 4000.25 (References (e) and (f)).

ENCLOSURE 5SAMPLE POLICY STATEMENTSFigure 14. Statements Implementing DoD Policy Established in DoDDs and/or DoDIs

<p>When the AI implements DoD policy established in one issuance.</p> <p>Sample 1: 4. <u>POLICY</u>. It is DoD policy pursuant to Reference (c) to protect the security of NATO classified documents and to limit distribution and access to only those who have a need-to-know and who are cleared for access.</p> <p>Sample 2: 4. <u>POLICY</u>. It is DoD policy pursuant to Reference (b) that telecommunications services will be used only for official business except in cases of emergency. Acquisition of telecommunications equipment or services by other means other than delineated in this AI and in Reference (b) is prohibited.</p>
<p>When the AI implements DoD policy established in more than one issuance.</p> <p>Sample 1: 4. <u>POLICY</u>. It is DoD policy pursuant to References (c) and (d) to provide prompt, fair, and impartial consideration and disposition of complaints involving employment discrimination on the basis of race, color, religion, sex, age, national origin, physical and/or mental disability, and/or retaliation for having participated in protected activity.</p> <p>Sample 2: 4. <u>POLICY</u>. It is DoD policy pursuant to Reference (e) to limit the creation of records to those essential for the efficient conduct of official business, to preserve records of continuing value while systematically eliminating all others, and to ensure the management of records complies with Reference (f).</p>

Figure 15. Statements Establishing OSD Policy In Support of Established DoD Policy

<p>When the AI establishes OSD policy in order to implement DoD policy established in another document.</p> <p>4. <u>POLICY</u>. It is OSD policy that OSD and JS Components will promote the public trust by making the maximum amount of information available to the public on the operation and activities of the Department of Defense, consistent with the Department's responsibility to ensure national security in accordance with Reference (a).</p>

ENCLOSURE 6

SAMPLE RESPONSIBILITY STATEMENTSFigure 16. Assigning Responsibilities Above the Signature

For an AI with all-inclusive applicability:

5. RESPONSIBILITIES

a. Director, WHS. Under the authority, direction, and control of the Director, Administration and Management, the Director, WHS:

(1) Oversees implementation of this AI.

(2) Exercises waiver authority consistent with Reference (c) for employees of the Human Resources Directorate (HRD), WHS, if documentation establishes that such employment is in the best interest of the Directorate.

b. Director, HRD. Under the authority, direction, and control of the Director, WHS, the Director, HRD:

(1) Ensures enforcement of the requirements and restrictions of this AI.

(2) Exercises waiver authority consistent with Reference (c) for employees working in the same organizational entity of a WHS-Serviced Component (e.g., office, division, directorate, or equivalent) if documentation from the Component concerned establishes that such employment is in the best interest of the Component.

c. WHS-Serviced Component Heads. The WHS-Serviced Component heads, in accordance with Reference (c), comply with this AI when requesting personnel actions.

For an AI with all-inclusive applicability that also applies to historical researchers:

5. RESPONSIBILITIES

a. Director of Administration and Management (DA&M). The DA&M serves as the approval authority for access to DoD classified information in OSD Component files and in OSD files at the National Archives, Presidential libraries, and other similar institutions in accordance with Deputy Secretary of Defense Memorandum (Reference (j)).

b. OSD Records Administrator. Under the authority, direction, and control of the DA&M, the OSD Records Administrator:

(1) Exercises approval authority for research access to OSD records.

(2) Maintains and provides prospective researchers the procedures for requesting access.

(3) Processes, monitors, and maintains the required records for each request.

c. WHS-Serviced Component Heads. The WHS-Serviced Component heads ensure that all requests for research access to OSD records received by their respective Components are forwarded to the OSD Records Administrator for action in accordance with Reference (j) and this AI.

Figure 17. Assigning Responsibilities in an Enclosure

For an AI that does not apply to the Office of the Chairman of the Joint Chiefs of Staff, the Military Departments, or the U.S. Representative to the NATO Military Committee:

AI 99, March 31, 2007

ENCLOSURE 2

RESPONSIBILITIES

1. DIRECTOR, WHS. Under the authority, direction, and control of the DA&M, the Director, WHS, oversees implementation of this AI. *In this example, the acronyms "WHS," "DA&M," and "HRD" were established earlier in the text.*

2. DIRECTOR, HRD. Under the authority, direction, and control of the Director, WHS, the Director, HRD:
 - a. Conducts the NATO initial briefing and debriefing for personnel assigned to the WHS-Serviced Components who require access to NATO classified material. This responsibility may be delegated to the WHS-Serviced Component security managers.
 - b. Provides the Chief, OSD Subregistry, a monthly computer printout of personnel having access to NATO Secret, COSMIC, or ATOMAL information.

3. CHIEF, OSD SUBREGISTRY, CORRESPONDENCE CONTROL DIVISION (CCD), EXECUTIVE SERVICES DIRECTORATE (ESD). Under the authority, direction, and control of the Director, WHS, the Chief, OSD Subregistry, CCD ESD:
 - a. Processes and distributes by paper or electronically all NATO classified material received in the OSD Subregistry.
 - b. For each of the designated control points, conducts an 18-month inspection of their operation and an annual inventory of their COSMIC and ATOMAL documents as required by Reference (d).
 - c. Ensures all personnel in the WHS-Serviced Components holding ATOMAL access clearances receive annual rebriefings.
 - d. Promptly destroys all documents that are no longer needed or required.

4. WHS-SERVICED COMPONENT HEADS. The WHS-Serviced Component heads having designated control points in accordance with Reference (b):
 - a. Designate in writing a primary and an alternate control officer and report changes in the designation of control officers as they occur.
 - b. Submit to the Chief, OSD Subregistry, the names and signature specimens of the designees according to the procedures in this AI.

A listing of acronyms and abbreviations is mandatory if acronyms are used other than "DoD", "OSD," or "U.S."

If the Glossary only has one part, then "Part #" will not be used.

GLOSSARY

1

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PART I. ABBREVIATIONS AND ACRONYMS

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AI

administrative instruction List abbreviations and acronyms alphabetically; don't number them. Leave one blank line between those beginning with a different letter. For military terms, use the approved joint abbreviations and acronyms in JP 1-02.

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CFR

Code of Federal Regulations Use title case only when the term is a proper noun.

DoDD

DoD directive

DoDI

DoD instruction

DoDM

DoD manual

DTM

directive-type memorandum

EA

Executive Agent

E.O.

Executive order "Executive" is always capitalized when it refers to the President or to the Office of the President. Use title case for "order" only when referring to a specific Executive order, e.g., "Executive Order 11111".

FR

Federal Register

JP

joint publication Use lower case when the term is not a proper noun. Failure to do so is a common error in draft DoD issuances. Examples of other frequently used common nouns that **shouldn't** be capitalized are "action officer," "active duty," "area of responsibility," "peace operations," "point of contact," "public affairs" (unless referring to a specific public affairs office or official), "program budget decision" (unless referring to a specific program budget decision memorandum), and "memorandum of agreement" (unless referring to a specific memorandum).

MS

Microsoft

PAS

Presidentially appointed, Senate-confirmed

PL

Public Law

U.S.C.

United States Code

WHS

Washington Headquarters Services

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PART II. DEFINITIONS

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Terms in the Glossary should be those that are particular to the DoD issuance itself or are not accurately defined in a standard dictionary for your purposes. Terms must either be described as: (a) for the purpose of this AI; (b) defined in another DoD publication; or (c) proposed for inclusion in the next edition of JP 1-02. Repetition of descriptive statements in the Glossary can be avoided by using the following general caveats:

These terms and their definitions are for the purposes of this AI.

Unless otherwise noted, these terms and their definitions are for the purposes of this AI.

List the terms being defined alphabetically; don't number them. Capitalize them **only** if they are proper nouns. If an acronym has been established for a term, use the acronym: don't write the term out (alphabetize by acronym). Leave one blank line between terms. If a definition requires subparagraphs, leave one blank line between them and indent the first line of the subparagraph to the first tab stop.

If your definition must **always** match the term as defined somewhere else (e.g., Joint Publication 1-02, other DoD issuances, or other Government publications (e.g., Executive orders, Public Law, the Code of Federal Regulations, the United States Code), to avoid inconsistency don't repeat the definition. Instead, cite the issuance or publication in which the term's defined as a reference in place of the definition, e.g., "DoD EA. Defined in Joint Publication 1-02."

If you believe a definition should be in JP 1-02 (see DoDI 5025.12 for the establishing criteria for terms with DoD-wide applicability), place this statement at the end of the definition: "This term and its definition are proposed for inclusion in the next edition of Joint Publication 1-02." The SD 106 prepared for formal coordination **must** include the statement that a term has been nominated for inclusion in JP 1-02.

AI. A DoD issuance, no more than 50 pages in length, that provides general procedures for implementing DoD policy for the administration of the DoD Components that are serviced by WHS. AIs implement policy established in DoDDs or DoDIs. AIs must be signed by the DA&M or the Director, WHS.

DoDD. A DoD issuance that **exclusively** establishes policy, assigns responsibility, and delegates authority to the DoD Components. DoDDs mustn't contain procedures. They'll consist of these two types of issuances:

direct oversight DoDD. A DoD issuance, no more than 8 pages in length including enclosures, reserved for subjects requiring direct oversight by the Secretary or Deputy Secretary of Defense, approved and signed only by the Secretary or Deputy Secretary of Defense, and consisting only of one or more of these types of information:

Non-delegable responsibilities assigned to the Secretary or Deputy Secretary of Defense.

Assignment of functions and resources between or among the DoD Component and/or OSD Component heads. More specifically, this is when the fundamental responsibilities, functions, or authorities of the Component head are being defined or redefined. These major assignments should not be confused with the collateral functions routinely mentioned in an issuance in which the OSD Component head assigns a responsibility to (and coordinates with) another Component head to perform a task within an assigned functional area.

DoD EA assignments, which consist of the designation of a DoD EA and the assignment of related responsibilities and authorities.

Matters of special interest to the Secretary or Deputy Secretary of Defense such as advisory boards or urgent Global War on Terrorism matters. They may be items selected by the Secretary or Deputy Secretary or recommended by an OSD Component head.

chartering DoDD. A DoDD that establishes the mission, responsibilities, functions, relationships, and delegated authorities of an OSD Component head or other OSD PAS official, a Defense Agency, a DoD Field Activity, or other major DoD or OSD Component, as required. Also referred to as an “organizational charter” or “charter Directive.” Chartering DoDDs comprise a unique DoDD format, developed by O&MP in coordination with DD, and are exempt from the 8-page limit for DoDDs. Chartering DoDDs must be signed by the Secretary or Deputy Secretary of Defense, except that where the Under Secretaries of Defense are delegated the authority in their chartering DoDDs, the Under Secretaries of Defense must issue chartering DoDDs for their subordinate OSD PAS officials.

DoDI. DoDIs must be no more than 50 pages in length including enclosures. They consist of these two levels of issuances:

policy DoDI. A DoDI that **establishes policy** and assigns responsibilities within a functional area assigned in an OSD Component head’s chartering DoDD, including defining the authorities and responsibilities of a subordinate official or element when these don’t meet the criteria for a chartering DoDD. Policy DoDIs may also provide general procedures for implementing that policy. Policy DoDIs must be signed by an OSD Component head; the acting OSD Component head; or, in the absence of the head or the acting head, the individual designated in writing to perform the duties of the OSD Component head. Policy DoDIs must include the Component’s chartering DoDD as a reference, and, for the Components whose chartering DoDDs **haven’t** been updated to include the authority to issue policy in DoDIs, they must include DoDI 5025.01 as a reference.

non-policy DoDI. A DoDI that **implements policy** established in a DoDD by providing general, overarching procedures for carrying out that policy. Non-policy DoDIs must be signed by the OSD Component heads, their principal deputies, or the OSD PAS officials as authorized by their chartering DoDDs.

DoDM. A DoD issuance providing detailed procedures for implementing policy established in DoDDs and DoDIs. DoDMs must include the specific, procedural information formerly published as DoD publications. All DoD publications that aren’t DoDMs (i.e., catalogs, compendiums, directories, handbooks, indexes, inventories, lists, modules, pamphlets, plans, series, standards, supplements, and regulations) will be converted into DoDMs on their next reissuance. DoDMs must be signed by the OSD Component heads, their principal deputies, or the OSD PAS officials as authorized by their chartering DoDDs. DoDMs exceeding 100 pages in length must be separated into two or more volumes.

DoD publication. A DoD issuance that provides detailed procedures for implementing policy established in DoDDs and DoDIs. (Term to be **discontinued** upon reissuance of all DoD publications as DoDMs.) DoD publications include these types of issuances approved and signed prior to October, 28, 2007: catalogs, compendiums, directories, handbooks, indexes, inventories, lists, modules, pamphlets, plans, series, standards, supplements, and regulations.

DTM. A memorandum issued only for time-sensitive actions that affect current issuances or that will become DoD issuances, and only when time constraints prevent publishing a new issuance or a change to an existing issuance. With the exception of the mandatory coordinators, the

processing and approval of a DTM must not be delayed due to missing or late coordinations.

DTMs establish DoD policy and assign responsibilities, or implement policies and responsibilities established in existing DoD issuances. DTMs concerning subjects requiring direct oversight by the Secretary or Deputy Secretary of Defense must be signed by the Secretary or Deputy Secretary of Defense. DTMs that establish policy must be signed by the OSD Component heads. DTMs that implement policy must be signed by the OSD Component heads, their principal deputies, or other OSD PAS officials as authorized by their chartering DoDDs.

DTMs can't be used to permanently change or supplement existing issuances. They will be effective for no more than 6 months from the date signed, unless an extension is approved by the DA&M, during which time they must be incorporated into an existing DoD issuance, converted to a new DoD issuance, reissued, or cancelled.

formal information collection title. The formal title given to an information collection for the purposes of identification when submitted to respondents. The formal information collection title must be provided on the SD Form 455, "Request for Approval of Information Collection" or the OMB Form 83-I, "Paperwork Reduction Act Submission" during the registration and licensing process.

information collection. The functional area expression of need for data or information to carry out specified and authorized functions or for management purposes that require the establishment or maintenance of forms and formats, or reporting or recordkeeping systems, whether manual or automated.

information collection request. A written or verbal report, application, form, schedule, survey, questionnaire, reporting or recordkeeping requirement, or other similar method calling for the collection of information.