

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

<b>DEPARTMENTAL REGULATION</b>		Number: 0100-001
SUBJECT: Departmental Directives System	DATE: September 16, 2011	
	OPI: Office of the 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 December 20, 2006.

b. The principal changes to DR 0100-001 are as follows:

(1) New procedures for clearing Departmental Directives. (See DM 0100-001)

(2) Removal of roles and responsibilities associated with the production of Departmental Directives in hard copy.

- c. All Departmental Directives must be prepared using the departmental enterprise word processing solution.
- d. The proper process for the preparation, coordination and distribution of the Directives System is detailed in 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

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.

The agencies and staff offices manage internal issuances which interpret Departmental directives, external directives, or which enable legislation. The internal issuances are not required to follow the format prescribed in the Departmental regulation.

### 4. TYPES OF DEPARTMENTAL DIRECTIVES

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.

- a. Permanent Directives are continuing directives that are in force until specifically cancelled. They are:
  - (1) Regulations. Departmental Regulations (DR) promulgate Departmental policy; delegate authority; establish responsibility; establish statutory 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.
  - (2) 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.
- b. Temporary Directives. Temporary Directives are not to exceed one year and **CANNOT BE RENEWED**. They are:

- (1) Notices. Departmental Notices (DN) announce:
  - (a) Policy or procedure of Departmentwide interest that is temporary or of a one-time nature that normally addresses a single subject;
  - (b) 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
  - (c) Delegations of Authority from Assistant Secretaries and other General Officers pending publication in the Federal Register.
- (2) 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.

Offices of Primary Interest 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. In the Codification/Expiration block of Form AD-813, Departmental Notice, state the expiration date of the issuance.

## 5. CLEARANCE

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

- a. Mandatory Clearances. It is mandatory that all DRs, DMs, 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. **OCIO does not do simultaneous clearance.**
  - (2) Office of the Chief Financial Officer/Office of Budget and Program Analysis (OCFO/OBPA) will review the document for budget and program considerations. **OCFO/OBPA does not do simultaneous clearance.**

- (3) Office of the General Counsel (OGC) will review the document for legal implications. **OGC does not do simultaneous clearance.**
  - (4) Assistant Secretary for Administration (ASA) will review all Departmental directives and will be responsible for having the directive cleared within the scope of the ASA's authority, to include a review by Office of Human Resources Management (OHRM), Labor Relations to determine if the Department has a national consultation obligation under 5 U.S.C. Chapter 71. The ASA will receive the Directive after optional clearance offices and mandatory offices review and clear the directive. At the discretion of the ASA, the directive may be routed to additional optional clearance offices. **The ASA does not do simultaneous clearance.**
  - (5) Office of the Executive Secretariat: Will act as a non-reviewing clearance official only when the Directive is to be signed in the Office of the Secretary.
- b. Optional Clearances. The OPI has the discretion to determine the optional clearance officials. Mission Areas and Staff Offices that have a direct role or responsibility under the proposed Directive are strongly recommended clearance offices
  - c. Clearance Order
    - (1) Office of Primary Interest
    - (2) OCIO
    - (3) Optional Clearances
    - (4) OCFO/OBPA
    - (5) OGC
    - (6) ASA
    - (7) OCIO
    - (8) OES (only if signed by the Secretary)
    - (9) Signature Authority

Note: if any of the clearing offices make any changes to the proposed Directive after OGC has reviewed, the proposed directive must be returned to OGC. OGC will review the changes for legal sufficiency and send back to the clearing office that made the changes.

## 6. SIGNATURE AUTHORITY

Persons in specific positions may issue policy, guidance and procedures within the scope of their delegated authority and assigned functions:

- a. 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.

- b. Secretary's Memoranda. Only the Secretary or Acting Secretary may issue Secretary's Memoranda.

Signature Authorities will approve the issuance of Departmental directives in accordance with their delegated authorities and assigned functions by signing the AD-116. Secretary's Memoranda can be signed on the Directive itself or the AD-116.

## 7. EFFECTIVE DATE

The date that the signature authority signs the Form AD-116 is the effective date, unless otherwise indicated under "SPECIAL INSTRUCTIONS." If the signature authority is the Secretary, the effective date is the date the Secretary signed the Directive or the AD-116.

## 8. CANCELLATIONS

DRs and DMs can be cancelled by another Departmental directive or upon request from the OPI. DN 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.

## 9. 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 receipt of signed Directive;
- (9) 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;
- (10) Maintain historical files of Departmental directives, including copies of current and superseded directives, clearance forms, and other pertinent information; and
- (11) Serve as a mandatory clearance office for all Departmental directives and Secretary's Memoranda.

b. Department Agencies and Staff Offices will:

- (1) Ensure that all USDA staff 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) Ensure the 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 Directives 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. Office 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 Departmental directives as appropriate to implement or incorporate the external issuances;
- (3) Verify if the directive contains sensitive information by checking with a cyber security officer. If a directive contains sensitive information it should not be posted to the internet and the directive should be clearly identified as containing sensitive information. The OPI will be responsible for distributing a directive containing sensitive information to the affected parties;
- (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 departmental enterprise solution.
- (7) Provide a final using the departmental enterprise solution document electronically 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, 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/nonconcurrency;

- (3) Return comments to the OPI within three business days. OGC and ASA will have ten business days to return comments to the OPI. If the Clearance Office is not able to complete the review within the specified timeframe, the Clearance Office must request a formal extension in time from the OPI; 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 Assistant Secretary for Administration will:
- (1) Serve as a mandatory clearance official; and
  - (2) Route, at the discretion of the ASA, the directive to additional optional clearance offices.
- g. The Office of the Executive Secretariat will:
- (1) Forward the directive to the Secretary for signature;
  - (2) Obtain the signature of the Secretary of Agriculture and establish the effective date;
  - (3) Provide a copy of the signed AD-116 and the final directive to the OPI and to the Directives Manager; and
  - (3) Maintain the original copy, original clearance form, and all relevant background material on all directives signed by the Secretary.
- h. Directives System Liaison Officers will:
- (1) Serve as liaison to OCIO on all matters relating to the Departmental Directives System;
  - (2) Assist the OPI in the clearance process of Departmental Directives.
  - (3) Assist the OCIO with audit requests

10. DEFINITIONS

- a. Agency. Organizational units of the Department, other than staff offices as defined in 10r 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. 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.
- d. 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.
- e. 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.
- f. Codification. The issuance of a directive, appropriately numbered, in permanent form, or the conversion of a temporary directive to permanent issuance.
- g. External Directives. Federal regulations, Executive Orders, or other issuances that originate outside USDA but may apply to USDA operations.
- h. Format. The design of directive pages for positioning constant information such as directive number, subject, OPI, date, page number, margins, etc.
- i. Head. Agency Administrator, office director, or the person acting as head.
- j. Mandatory Clearance Office. A clearance office that directives must be cleared through prior to issuance.
- k. Office of Primary Interest. The office responsible for the origination and content of a directive related to a particular function or program.
- l. Office of the Secretary. This term includes the immediate office of the Secretary, the Deputy Secretary, the Under and Assistant Secretaries.
- m. Rescission. The cancellation of a directive.
- n. Revision. A complete rewrite and reissuance of an existing Departmental Regulation or Manual.
- o. Secretary. The Secretary of Agriculture.
- p. Series Designator. An alphabetical abbreviation indicating the series of a particular Departmental directive (e.g., DR, DM, DN, SA, SM).
- q. Signature Authority. The office/person that approves the directive in accordance with delegated authorities and assigned functions

- r. Staff Office. Departmental administrative offices whose heads report to officials within the Office of the Secretary.

11. ABBREVIATIONS

AD	Agriculture Department (for forms use only)
ASA	Assistant Secretary for Administration
DM	Departmental Manual
DN	Departmental Notice
DR	Departmental Regulation
DSLO	Directives System Liaison Officer
OCFO	Office of the Chief Financial Officer
OCIO	Office of the Chief Information Officer
OES	Office of the Executive Secretariat
OGC	Office of the General Counsel
OHRM	Office of Human Resources Management
OPI	Office of Primary Interest
SM	Secretary's Memoranda

12. 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>.

- a. Form AD-116: Clearance and Approval for Departmental Issuances
- b. Form AD-778: Secretary's Memorandum (first page)
- c. Form AD-811: Departmental Regulation (first page)
- d. Form AD-812: Departmental Manual (first page)
- e. Form AD-813: Departmental Notice (first page)

13. PROCEDURES

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

END