Departmental Directives Structure Requirements

Directives Types	
Departmental Regulation (DR)	**Departmental Manual (DM)**
DRs cover policy (who, what, where, when)	**DMs cover process, procedure, and standards (how)**
Regulations. Departmental Regulations (DR) promulgate departmental policy; delegate authority; establish responsibility; establish statutory or interagency committees; and/or prescribe high-level procedures governing USDA activities and operations. DRs also may include selected material of an administrative nature that is published in the Federal Register or the Code of Federal Regulations. DRs must be reviewed and revised or reissued at least every 5 years to ensure they remain aligned with current applicable statutory, regulatory, and/or policy requirements. (DR 0100-001, § 4a(1))	Manuals. Departmental Manuals (DM) are used for detailed, relatively lengthy but higher-level 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 external agency directives with USDA policy and procedural guidance. DMs must be reviewed and revised or reissued at least every 3 years to ensure they remain aligned with current statutory, regulatory, and/or policy requirements. (DR 0100-001, § 4a(2))
DRs are permanent directives.	**DMs are permanent directives.**
Permanent Directives are directives that are in force for a defined period of time with a predetermined expiration date or until specifically cancelled. (DR 0100-001, § 4a)	

Per DR 0100-001, *Departmental Directives System*, 01/04/2018
Per DM 0100-001, *Preparing Departmental Directives*, 01/04/2018

Key:
<mark>(BP) Best Practice</mark>
<mark>(R) Requirement</mark>

Directive Structure and Recommended Section and Appendix Sequence (DM 0100-001, §§ 3b, 3c, 3d, and 3e)	
Departmental Regulation (DR)	**Departmental Manual (DM)**
MASTHEAD	**MASTHEAD**
Form AD-811, *DR Masthead Template* • Masthead templates are posted on the DDRWG SharePoint, or may be requested from the Departmental Policy Office.	Form AD-812, *DM Masthead Template* • Masthead templates are posted on the DDRWG SharePoint, or may be requested from the Departmental Policy Office.
Mastheads. Only use the standard masthead templates provided on the Departmental Directives or Forms websites to ensure Section 508 compliance (e.g., table design, tab order). (DM 0100-001, §§ 3e(1) and 3d(1))	
Assigning Classification Numbers. • When More Than One Subject Is Involved – When a directive can be classified under more than one classification number, the OPI should recommend which subject captures the principal message of the directive. Otherwise, the DDM will assign Classification Numbers. (DM 0100-001, §7 d(1)) • Within a Directives Series – Serial numbers will be assigned consecutively within each series. (DM 0100-001, §7 d(2))	

Directive Structure and Recommended Section and Appendix Sequence	
(DM 0100-001, §§ 3b, 3c, 3d, and 3e)	
Departmental Regulation (DR)	**Departmental Manual (DM)**

Requirements and Best Practices:
- R – Only use the authorized Masthead Templates (see URLs above) – Save the dotx template as a docx document before you start work on the new draft directive – Do not build your own Masthead or copy from another/older directive.
- BP – Keep the directive Subject or Title short and not overly wordy or long.
- BP – Leave the Number field blank for new directives – the DDM will add the directive number once the directive has been approved for publication. (DM 0100-001, § 7d)
- R – Leave the Date field blank – the DDM will add the date once the directive has been approved for publication. (DM 0100-001, § 5c(3))
- R – Leave the Expiration Date field blank – the DDM will add the date once the directive has been approved for publication. (DR 0100-001, § 2b(5))
- BP – Also identify the agency or staff office component if applicable in the OPI field (e.g., for OCIO directives: Office of the Chief Information Officer, Information Resource Management Center) – spell out the agency or staff office and component names.
- BP – Do not include "USDA" in the directive Subject or title.

TABLE OF CONTENTS	**TABLE OF CONTENTS**

Table of Contents.
- Always include a table of contents, unless the directive is an SM, as an aid to the reader.
- The table of contents must begin on the same page as the masthead.
- Start the table of contents after 3 blank lines below the masthead.
- The left column should be titled with the underlined "Section."
- The right column should be titled with the underlined "Page."
- Two lines (after 1 blank line) below the word "Section" list the table of contents.
- Start the text of the directive after 3 blank lines below the table of contents.
  (DM 0100-001, §§ 3e(2) and 3d(2))

Requirements and Best Practices:
- R – Always include a ToC as an aid to the reader (except Secretary's Memoranda – SMs)
- R – Include periods after the Section Number in the first column for style consistency
- R – Do not use dots (dot leaders) between the Section title and the page number
- BP – Recommend using tabs to manually build the ToC – the Microsoft Word canned ToC template formats can be difficult to edit/maintain to conform to the directives format or style requirements (e.g., Microsoft will return to default settings after every ToC update).

PURPOSE – Required Section	**PURPOSE – Required Section**

Purpose.
This is the first section in a directive. Briefly state the reason for the directive. References to relevant laws, Executive Orders, external directives, etc., should be made in this section. If references are lengthy, it is recommended that the information be provided in an appendix to avoid interrupting the readability and flow of the directive. The Purpose section applies to DNs, DRs, DMs, DGs, and SMs. (DM 0100-001, §§ 3b(1) and 3d(3))

SPECIAL INSTRUCTIONS/CANCELLATIONS – Required Section	**SPECIAL INSTRUCTIONS/CANCELLATIONS – Required Section**

Special Instructions/Cancellations.
This section describes important notes of interest that impact the use or execution of the directive (e.g., cancellation of previous directives, directive implementation timeframes). The Special Instructions/Cancellations section applies to DNs, DRs, DMs, and DGs. (DM 0100-001, §§ 3b(3) and 3d(4))

Requirements and Best Practices:
- R – Itemize directives and policy statements to be superseded or cancelled
- R – OPIs may only supersede or cancel directives or policy statements in directives owned by the OPI – all other instances require written approval of the policy owner – copy to be furnished to the DDM
- BP – Recommend including language such as: "This DR is effective immediately when published. All Mission Areas, agencies, and staff offices must align their policies and procedures with this DR/DM within 6 months of the publish date."
- R – Be sure to include the "s" on Cancellations

Directive Structure and Recommended Section and Appendix Sequence
(DM 0100-001, §§ 3b, 3c, 3d, and 3e)

Departmental Regulation (DR)	Departmental Manual (DM)
SCOPE – Required Section	**SCOPE – Required Section**

Scope.
Briefly state the Mission Area(s), agency(ies), staff office(s), and/or group(s) to which the directive applies. The Scope section applies to DNs, DRs, DMs, and DGs. (DM 0100-001, §§ 3b(2) and 3d(6))

Requirements and Best Practices:
- R – We now always place Scope ahead of Background. Better to tell the reader who the directive applies to before providing the content.

BACKGROUND – Optional Section	**BACKGROUND – Optional Section**

Background.
This section provides a brief summary of the historical information or the circumstance that make the directive necessary. (DM 0100-001, §§ 3c(1) and 3d(5))

POLICY – Required Section	**POLICY**
Policy. This section provides a brief summary of the principal policy promulgated in the directive. It may contain subsections to more clearly delineate the "who," "what," and "when" that describe and identify specific compliance requirements. The Policy section applies to DNs and DRs. If a Policy section is included in a DM or DG, use it only provide a sentence to reference or point to the overarching policy DR. (DM 0100-001, §§ 3b(4) and 3d(7))	Policy belongs in a DR. Recommend providing a statement in the Special Instructions/Cancellations Section which points to the overarching or controlling DR. If the Policy Section is included at all, only provide a sentence to reference or point back to the overarching or controlling DR.

PROCEDURES	**PROCEDURES – Required Section**
Procedures belong in a DM. Recommend providing a statement in the Special Instructions/Cancellations Section which points to the companion DM(s). If the Procedures Section is included at all, only provide a sentence to reference or point to the companion or subtending DM(s).	Procedures. This section identifies the processes for accomplishing the directive's purpose by providing step-by-step or "how to" guidance. Information in this section is typically lengthy, detailed, and procedural in nature. It may contain subsections to more clearly describe the information being provided. The Procedures section applies to DMs, DGs, and occasionally DNs. If a Procedures section is included in a DR, use it to provide a sentence to reference or point to the companion procedural DM(s). (DM 0100-001, §§ 3b(5) and 3d(8))

ROLES AND RESPONSIBILTIES – Required Section	**ROLES AND RESPONSIBILTIES – Required Section**

Roles and Responsibilities.
This section identifies the responsible officials, offices, agencies, and functional specialists and describes their duties as it relates to the specific directive. The Roles and Responsibilities section applies to DNs, DRs, and DMs. If used in a DM, this section may not be used to establish new policy, and may only impose incremental roles and responsibilities pertinent to the processes or procedures delineated in the DM that were not identified in the DR. DGs may not establish roles and responsibilities beyond those found in the governing Departmental directive. (DM 0100-001, §§ 3b(6) and 3d(9))

Directive Structure and Recommended Section and Appendix Sequence	
(DM 0100-001, §§ 3b, 3c, 3d, and 3e)	
Departmental Regulation (DR)	**Departmental Manual (DM)**

Requirements and Best Practices:
 	
• R – Use a chained duty to perform "will" statement structure (formerly "shall") using semi-colons. Use active voice – start each statement with an action verb. For example:
    ○ The USDA Chief Information Officer (CIO) will:
        a. Do X;
        b. Do Y; and
        c. Do Z.
• R – Identify the responsible officials, executives, and functional specialists and their duties required by the directive rather than "Mission Areas, agencies, and staff offices" – if they are mentioned in the body of the directive, always consider if they should also have defined roles and responsibilities for which they will be accountable. It is understood that the named officials may delegate some of their responsibilities down within their organization, but the named official remains accountable. All officials named in this section should be afforded the opportunity to review and comment on the draft directive in Departmentwide stakeholder reviews.
• BP – Be sure to clean up similar and synonymous titles or functions in the draft directive for clarity.
• BP – Include roles and responsibilities for the Mission Area, agency, or staff office head (e.g., USDA CIO) <u>in the context of the directive</u>; may include an oversight role and/or delegation of the related program management responsibilities to the OPI.
• BP – Include roles and responsibilities for the OPI's executives (e.g., OCIO ACIO or OCIO Staff Director) <u>in the context of the directive</u>; should also include:
    ○ Review and approval of policy waiver requests.
    ○ Responsibility for policy compliance enforcement (proactively and regularly monitor, measure, audit, report, and enforce compliance).
• BP – Include roles and responsibilities for Mission Area Assistant CIOs, and for Agency and Staff Office IT Directors for IT-related directives.
• BP – Ensure the directive has clarity in roles and responsibilities – OGC has nonconcurred on several directives on this point – requires a complete rewrite and resubmission to the start of the clearance process.
• BP – If end-user or employees roles and responsibilities are included, such as mandatory training requirements, the directive will likely require OHRM-Labor Relations review in formal clearance (recommend at Optional Clearance stage).	

COMPLIANCE – Optional Section	**COMPLIANCE – Optional Section**
Compliance. This section delineates the measures that the OPI, as the policy owner, will proactively and regularly take to monitor, measure, audit, report, and enforce compliance with the provisions of the directive. These elements should also be included or summarized in the Roles and Responsibilities section for the responsible and accountable head, executive, or official with the OPI. (DM 0100-001, §§ 3c(4) and 3d(10))	
POLICY EXCEPTIONS – Optional Section	**POLICY EXCEPTIONS – Optional Section**
Policy Exceptions. OBPA preference. This section provides agencies and staff offices with a mechanism to request and receive approval for a policy exception or waiver (with documented justification) which will provide an equivalent or greater level of compliance if significant cost, budgetary, system, staff, procedural, timeline, or other issues arise. Such a mechanism may help reduce or avoid adverse audit findings if compliance issues were to arise. Any granted exceptions or waivers should be documented and require annual review and documented re-approval. A reviewing official for exception requests should be designated by the OPI and reflected in the Roles and Responsibilities section of the directive. Provide a mechanism to consult with or to appeal the reviewing official's decision to the OPI's agency head if necessary. If the exception request relates to information technology (IT) or to cybersecurity, consultation with and review and approval by the USDA Chief Information Officer (CIO) and/or the USDA Chief Information Security Officer (CISO) may also be appropriate or required. (DM 0100-001, §§ 3c(5) and 3d(11)	
INQUIRIES – Required Section	**INQUIRIES – Required Section**
Inquiries. This section provides contact information for the OPI as an aid to the reader (preferably a central or shared email or main telephone number) for end-user policy questions and inquiries. Ensure that the email account is regularly monitored and responded to timely. Do not include individual personnel names and associated telephone numbers or email addresses since they are likely to change often. (DM 0100-001, §§ 3c(6) and 3d(12))	
Requirements and Best Practices: • R – This is now a required section to meet Plain Language and Section 508 accessibility requirements. • BP – It is better to provide at least two contact options or methods from an accessibility perspective.	

Directive Structure and Recommended Section and Appendix Sequence
(DM 0100-001, §§ 3b, 3c, 3d, and 3e)

Departmental Regulation (DR)	Departmental Manual (DM)
-END- – Required	**-END- – Required**

END.
To identify the last page of the main body of the directive before the creation of appendices, type "-END-" centered after 2 blank lines below the last line of text in the body of the directive. The "-END-" notation should not be inserted for appendix pages. (DM 0100-001, § 3m)

ACRONYMS AND ABBREVIATIONS – Required – Appendix A	**ACRONYMS AND ABBREVIATIONS – Required – Appendix A**

Acronyms and Abbreviations.
This appendix (appendix now required; not a section) identifies the acronyms and abbreviations used throughout the directive. If an abbreviations appendix is not utilized, the abbreviation must be explained immediately after the first use in the text of the directive. If the list of acronyms and abbreviations is lengthy, it is now required that the information be provided in an appendix to avoid interrupting the readability and flow of the directive. (DM 0100-001, §§ 3c(3) and 3d(13))

Requirements and Best Practices:
- R – This is now required as an Appendix (rather than section) to meet Plain Language and Section 508 requirements.
- R – Always include as the first Appendix A (Plain Language Principle #1 and WCAG 3.2.3, *Consistent Navigation*)
- BP – WCAG 3.1.4, *Abbreviations*
- R – Always spell out the first instance in the text and just use the acronym thereafter – recheck first instances after every draft revision – they may have moved elsewhere in the draft – Use of an acronym in the Masthead title or in the Table of Contents does not count as a first instance. Exception: Can also add the acronym when not the first instance, when paired with a definition in the Definitions appendix or section of the directive for completeness and as an aid to the reader.
- R – Ensure that the Acronyms and Abbreviations Appendix aligns with actual usage in the text – revisit after every draft revision
- R – Alphabetize the list
- R – Use the preset tabs in the DG, DM, DN, and DR masthead templates in Appendix A
- BP – Do not insert or use a table (may cause spacing and word-wrap issues), just use a tabbed list
- BP – Recommend alignment to and consistency with accepted Federal and USDA acronyms and abbreviations whenever possible; for example:
  o DME – Development, Modernization and Enhancement (per OMB preference); not
  o DME – Development, Modernization or Enhancement; or
  o D/M/E – Development/Modernization/Enhancement
  and:
  o eCPIC – Electronic Capital Planning and Investment Control (per OMB and Digitalgov.gov preference); not
  o e-CPIC – Electronic Capital Planning and Investment Control; or
  o E-CPIC – Electronic Capital Planning and Investment Control
- R – Eliminate confusion – do not use duplicate acronyms with different meanings within the same directive – recent examples:
  o IRM – Information Resource Management (OCIO component name; renamed IRMC in 2018)
  o IRM – Information Resources Management (OMB term for an IT Strategic Plan)
  o IRM – Infrastructure Reference Model (Enterprise Architecture term)

DEFINITIONS – Optional Section – Appendix B	**DEFINITIONS – Optional Section – Appendix B**

Definitions.
This appendix (appendix now required; not a section) provides meanings for words and phrases as they are to be interpreted in the context of the directive. Whenever possible, definitions should come from an authoritative, Federal source. If the definitions are lengthy, it is recommended that the information be provided in an appendix to avoid interrupting the readability and flow of the directive. The definitions provided in Appendix B of DR 0100-001 and in Appendix A of DM 0100-001 must be applied consistently as the standard USDA definitions across all Departmental directives and need not be repeated in each one. (DM 0100-001, §§ 3c(2) and 3d(14))

Directive Structure and Recommended Section and Appendix Sequence
(DM 0100-001, §§ 3b, 3c, 3d, and 3e)

Departmental Regulation (DR)	Departmental Manual (DM)

Requirements and Best Practices:
- R – This is now required as an Appendix (rather than section) to meet Plain Language and Section 508 requirements.
- BP – Recommended for inclusion in directives as a standard practice.
- R – Always include as the second Appendix B (Plain Language Principle #1 and WCAG 3.2.3, *Consistent Navigation*)
- R – Use to provide meanings for words and phrases as they are to be interpreted in the context of the directive
- BP – WCAG 3.1.3, *Unusual Words*
- BP – Recommend alignment to and consistency with standard, authoritative, and accepted Federal or USDA definitions whenever possible, for example:
    - USDA, DG 0100-002, *USDA Departmental Directives Definitions Glossary*;
    - NIST, Computer Security Resource Center, *Glossary*;
    - CNSS, CNSSI-4009, *Committee on National Security Systems (CNSS) Glossary*, (scroll down to the Instruction); or
    - Other related USDA directives)
- BP – Recommend that the source for a definition always be cited.
- BP - If the cited definition is not used verbatim, include the phrase "adapted from" in the source citation.
- BP – If needed, update the style of the cited definition to align with Departmental directive format and style requirements.
- BP – The NIST online *Glossary* often includes several definitions for the same term – be sure to select or specify the correct version for use in the draft directive – do not leave it for the end user/reader to pick the most favorable version for their situation which may cause a compliance issue for the OPI.
- BP – Since the NIST online *Glossary* is a continually edited resource, some definitions may change over time. Always cite the retrieval date in your source citation, for example: (Source: NIST, *Glossary*, retrieved April 5, 2022)
- BP – Do not use or cite Wikipedia or other similar non-authoritative sources open to public editing

AUTHORITIES AND REFERENCES – **Required** – Appendix C	AUTHORITIES AND REFERENCES – **Required** – Appendix C

Authorities and References.

This appendix (appendix now required; not a section) lists the pertinent laws, Executive orders, external directives, internal guidance, etc. that inform or provide support for the compliance requirements of a directive. If the list of Authorities and References are lengthy, it is now required that the information be provided in an appendix to avoid interrupting the readability and flow of the directive. The Authorities and References section applies to DNs, DRs, and sometimes DMs and DGs. (DM 0100-001, §§ 3b(7) and 3d(15))

Directive Structure and Recommended Section and Appendix Sequence	
(DM 0100-001, §§ 3b, 3c, 3d, and 3e)	
Departmental Regulation (DR)	**Departmental Manual (DM)**

Requirements and Best Practices:

- R – This is now required as an Appendix (rather than section) to meet Plain Language and Section 508 requirements.
- R – Always include as the third Appendix C (Plain Language Principle #1 and WCAG 3.2.3, *Consistent Navigation*).
- R – Alphabetize the list
- R – Citation in Authorities and References Section or Appendix: Source or author, document number (revision if a NIST SP), document title, version (if applicable), date (in Month Day, Year format).
- R – Ensure that all references cited in the text also appear in the Authorities and References Section or Appendix – recheck alignment after every draft revision.
- R – Italicize all act, law, order, regulation, memorandum, circular, directive, form, standard, section, website, web page, or document titles rather than "document title" for simplified punctuation – use this style consistently throughout the directive.
- BP – First instance in text – use abbreviated citation format: Source or Author, Document Number, *Document Title*
- BP – Subsequent instances in text: Only use document number or shorthand title
- R – Embed the URL in the first instance in the text – embed in the shorter of the document number or title – if the URL is not embedded, changes to a directive to update changed or broken URLs will require resubmission to formal clearance.
- BP – Ensure that the text label for the embedded URL is descriptive and unique and allows the reader to easily determine the link purpose (WCAG 2.4.4, *Link Purpose (In Context)* and WCAG 2.4.9, *Link Purpose (Link Only)*). Do not use phrases such as "More Information" or "Click Here"
- R – Ensure that the URL is for the authoritative source, not a "convenience" copy posted elsewhere
- R – Also embed the URL in the Authorities and References Appendix citation (shorter of the document number or title)
- BP – Embed the PDF URL for the document, not the landing page URL – always minimize the number of click-throughs to reach the intended document (will reduce time spent and errors for the user)
- BP – When selecting the PDF URL for a U.S.C. or CFR citation, ensure that you provide the URL that covers the entire desired selection, not just the first page or first few pages – but also ensure that the URL is properly focused and not overly broad.
- BP – OGC always prefers U.S.C. citations over P.L. whenever available. If the GPO does not have the either U.S.C. or P.L. version published yet (for the authoritative URL), provide the URL for the "Enrolled Version" of the legislation (the final version of which passed both the House and the Senate and was sent to the President for signature) as published by GPO.

- BP – Use acronym P.L. for Public Law – OGC preference; not Pub. L.
- BP – For P.L., provide the PDF URL from the authoritative Govinfo *Public and Private Laws* website

- BP – Use acronym U.S.C. for United States Code citations – with periods – per *GPO Style Manual 2016*
- BP – For U.S.C, provide the PDF URL from the authoritative Govinfo *United States Code* website
- R – Always provide the U.S.C. URL for the most recent available Edition year
- BP – Do not use the U.S. House Code, Congress, Cornell Law, or other Federal, convenience, or commercial websites
- BP – Use OGC preferred format for U.S.C. citations

- BP – Use acronym CFR for Code of Federal Regulations – no periods – per *GPO Style Manual 2016*
- BP – For CFR, provide the PDF URL from the authoritative Govinfo *Code of Federal Regulations* website
- R – Always provide the CFR URL for the most recent available Edition year
- BP – Do not use the eCFR website – it is not an official legal edition of the CFR

- BP – Use acronym EO for Executive Orders – without periods – NARA *Federal Register* style preference
- BP – For EO, provide the PDF URL from the NARA *Executive Orders* website

- BP – For OMB Circulars, provide the PDF URL from the *Circulars* website
- BP – For OMB Memoranda, provide the PDF URL from the *Memoranda* website

Optional Sections and Components – A Directive May or May Not Need These	
Departmental Regulation (DR)	**Departmental Manual (DM)**
ADDITIONAL SECTIONS – Optional Sections	**ADDITIONAL SECTIONS – Optional Sections**
Additional Sections/Subsections. Additional sections and subsections can be used, as appropriate, to present the substance of the directive. The optional sections or subsections should be arranged in order of workflow occurrence, relative importance, or other logical sequence of presentation. (DM 0100-001, § 3a(3))	
REPORTS	**REPORTS – Optional Section**
Reports and their instructions are typically only provided in DMs	Report(s). Similar to forms, reports affected by or associated with the directive should be identified by the complete title and number. (DM 0100-001, § 3e(5))
FORMS	**FORMS – Optional Section**
Forms and their instructions are typically only provided in DMs	Form(s). Forms affected by or associated with the directive should be identified by the complete title and number. It is strongly recommended that forms not be included as part of a directive but instead be referenced to in the text and hyperlinked. DM 3020, Departmental Forms Manual provides direction for the creation and posting of Departmental forms. (DM 0100-001, § 3e(4))
	Requirements and Best Practices: • BP – Recommend that forms be referenced rather than be included in the directive body or an Appendix – easier to maintain Departmental forms without having to resubmit a directive for the clearance process because of a changed form – you may include a representative example and instructions in a directive. • R – See DM 3020-001, *Departmental Forms Manual*, for the Departmental forms requirements and process.
TABLES AND FIGURES – Additional Component	**TABLE AND FIGURES – Additional Component**
Tables and Figures. Tables contain text or numerical data in column and row form. Figures are any illustration other than tables. Table captions are located above the table, figure captions are located above the graphic. • If used in a directive, tables and figures must include "AltText" to be Section 508 compliant. • Both tables and figures must contain a title that clearly describes the content or what is being displayed. • Tables and figures are numbered independent of each other. • The format for a table caption is "Table #. Descriptive title." (e.g., Table 1. Monthly hiring rate by education level.). The format for a figure caption is the same -- "Figure #. Descriptive title." (e.g., Figure 1. Population growth in Washington DC.). (DM 0100-001, § 3e(3))	
Requirements and Best Practices: • R – Check to ensure Tables and Figures are Section 508 compliant • R – Do not use "complex" tables with merged cells or more than one Header Row title for a column – these cannot be made Section 508 compliant • R – Be sure to add AltText for Section 508 compliance (WCAG 1.1, *Text Alternatives*) – be concise yet descriptive and try to limit to 140 characters	
APPENDIX – Additional Component	**APPENDIX – Additional Component**
Appendix. Use an Appendix for detailed procedures or supplementary material. Give each Appendix a short, descriptive title. Type the title at the top of a separate page. Capitalize the entire title and center the title and the alphabetic appendix designation (i.e., APPENDIX A). Begin the text of the Appendix three lines below the title. Use the same format in the text of an Appendix as used in the text of the directive. (DM 0100-001, § 3d(16))	

Optional Sections and Components – A Directive May or May Not Need These	
Departmental Regulation (DR)	**Departmental Manual (DM)**

Requirements and Best Practices:
• R – Always place the first three Appendices in standard order as an aid to the reader (Plain Language Principle #1 and WCAG 3.2.3, *Consistent Navigation*)
    ○ Appendix A – Acronyms and Abbreviations (most likely to be consulted);
    ○ Appendix B – Definitions (next most likely to be consulted);
    ○ Appendix C – Authorities and References; and
    ○ Appendix D – The first of any other appendices which may be required	

DR/DM Formatting and Style

Capitalized Words.
- Capitalize "Department" or "Departmental" when referring to USDA
- Capitalize "Federal" when referring to Federal entities external to USDA; e.g., Federal agencies
- Capitalize "Government" when referring to the Federal Government or entities
- Capitalize "Mission Area" when referring to USDA Mission Areas
- Lower case "agencies and staff offices" when referring to USDA components; except when used as part of an official's title (e.g., Agency Head, or Staff Office Director in the Roles and Responsibilities Section of a Departmental directive)
- the web (lower case within a sentence (*GPO Style Manual 2016* – formerly always capitalized "the Web" in *GPO Style Manual 2008*)
- Web (upper case "W" to start a sentence; *GPO Style Manual 2016*)
- web page (two words; *GPO Style Manual 2016* – formerly "Web page" in *GPO Style Manual 2008*)
- website (now one word; *GPO Style Manual 2016* – formerly "Web site" in *GPO Style Manual 2008*)
- world wide web (*GPO Style Manual 2016* – formerly capitalized "World Wide Web" in *GPO Style Manual 2008*)

Company Names, Product Names, and Trademarks.
- Always defer to the company, organization, and product or trade name or notation format (including upper and lower case usage) if used or cited in a directive; for example:
  o iPad, not Ipad or IPad (Apple)
  o iPhone, not Iphone or IPhone (Apple)
  o SharePoint, not Sharepoint (Microsoft)
  o Wi-Fi, not WiFi (Wi-Fi Alliance)

Compound Words.
- Departmentwide; not Department-wide or Department wide
- Enterprisewide; not Enterprise-wide or Enterprise wide
- Governmentwide; not government-wide or government wide (*GPO Style Manual 2016*)
- webmaster (GPO Style Manual2016)
- web page (two words; *GPO Style Manual 2016* – formerly "Web page" in *GPO Style Manual 2008*)
- website (now one word; *GPO Style Manual 2016* – formerly two words, "Web site" *in GPO Style Manual 2008*)

Font – Times New Roman 12 (TNR-12).
Other than in the masthead title, Times New Roman 12 is the required font type and size for all directives. (DM 0100-0001, 3f(1))
- Hint – Ensure that a new draft directive is set to Times New Roman <u>before</u> the very first character is typed in the new draft.
- Hint – Recommend that all material be clean typed into a new draft directive – if any material is copied from another source, be sure to use the Destination Formatting option on paste.

Footnotes/Endnotes.
Footnotes [and endnotes] are not to be used in in the main body text in Departmental directives. (DM 0100-001, §3(l))
- Do not use footnotes or endnotes in Departmental directives; work required citations or language into the text of the directive and add to the Authorities and References Section or Appendix – these present Section 508 compliance issues – also legacy USDA preference for Departmental directives formatting.

Headers/Footers.
Headers – Page headers are not to be used in Departmental directives other than for white space. No text, logos, or graphics will appear in page headers. (DM 0100-001, §3j)
Footers – Page footers are only to be used for page numbers. No other text, logos, or graphics will appear in page footers. (DM 0100-001, §3k)
- Do not use headers – do not add version, date, or author or originator information.
- Only use footers for page numbers – do not add version, date, or author or originator information.

DR/DM Formatting and Style

Headings.
- Section headings must be in all capital letters (except when placed in the table of contents); they should not be underscored or end with a period. Text must not begin on the same line as the section heading.
- Within each section, as a rule, the first and second level subsections within each section should be given a brief, descriptive heading ([WCAG 2.4.6](#), *Headings and Labels*). It is permissible to use headings at any subsection level, provided each subparagraph within that specific subsection bears a heading. Be consistent.
- Capitalize the first letter of the first word and all major words in subsection headings. Do not underline the heading (creates Section 508 issues – may be mistaken for a text string with an embedded URL). Close with a period and begin text on the same line unless the heading stands alone.

(DM 0100-001, § 3h)

Line Numbers.
- Turn on Line Numbers for all review stages – helps facilitate reviewer comments – required field entry for a Comment Adjudication Table
- Hint – Line Numbers should run continuously down the left-hand margin without any spacing gaps – if spacing gaps do occur, find and turn off the Microsoft Word header or paragraph styles – use the "No Spacing" style throughout the document
- Turn on Line Numbers when starting to compose a new directive – they will be turned off when the finalized and approved directive is formatted for publishing by the DDM – if you employ Appendices with section breaks (to facilitate proper page numbering), line numbering may have to be turned on in each section or appendix of the document
- Hint – If the line numbers are anything but Times New Roman 12 (e.g., Calibri 11) when turned on, the document was not formatted properly to start with – See Font section above.

Margins.
All of the margins for all pages in a directive must be set at one inch. (DM 0100-001, § 3f(2))
- Hint – Use DR, DM, DG, or DN Template to achieve proper margins and indents.
- Page numbers should be centered and set ½ inch from the bottom of the page.

Page Numbering.
- The first page of a directive does not contain a page number; numbering begins on page 2. Pages are numbered consecutively, including pages that contain figures or tables.
- For pages that come before the appendices, the page numbers should use Arabic numerals centered one-half inch from the bottom of the page.
- For appendix page numbers, the page numbers should be centered one-half inch from the bottom of the page. The appendix page numbers begin with the letter of the appendix, followed by a dash and the page number (e.g., A-1 for the first page of Appendix A; B-1 for the first page of Appendix B).

(DM 0100-001, § 3f(3))
- No page number on page one (Microsoft Word – Page Setup/Layout/Headers and Footers/Different First Page).
- Use A-1…, B-1…, C-1 format for Appendix page numbering. Use "Next Page" Section Breaks in Microsoft Word – then "unlink" the headers and footers. Do not use Continuous Section Breaks.
- Check to ensure that the page numbers are Times New Roman 12 – See Font section above.

DR/DM Formatting and Style

Plain Language.
- Be sure to comply with Federal Plain Language requirements when developing a directive
- Identify and address your audience
- Federal Plain Language Principles: Written material is in plain language if your audience can:
  1. Quickly find what they need;
  2. Understand what they find the <u>first time</u> they read it; and
  3. Use what they find to meet their needs.
- Resources:
  - *Federal Plain Language Guidelines* website
  - *Federal Plain Language Guidelines*, Revision 1, May 2011
  - WCAG 3, *Understandable*; WCAG 3.1, *Readable*; WCAG 3.1.3, *Unusual Words*; WCAG 3.1.4, *Abbreviations*; and WCAG 3.1.5, *Reading Level*
- Use the Microsoft Word *Readability Statistics* tool to help assess the readability of the draft directive. Edit the draft and rerun the tool as needed. Hint: Use the tool and select or highlight only one section, paragraph, or statement at a time. Edit to improve, repeat, and then move on to the next area.
  - Use short, commonly used words – Recommend no more than 5.5 average characters per word
  - Use short sentences – Recommend no more than 14-17 average words per sentence
  - Use active voice – Recommend no more than 5% passive sentences
- Flesch Reading Ease (FRE) score recommendations for Departmental directives:
  - Minimum 20.0 FRE (Very Confusing) – Specialized audience within USDA – Typically DMs – For users who perform processes and procedures on a regular basis (an estimated 4.5% to 33% of U.S. adults read at this level)
  - Minimum 30.0 FRE (Difficult) – Audience includes all USDA employees – DRs – For executives and users seeking policy direction (an estimated 33% of U.S. adults read at this level)
  - Minimum 50.0 FRE (Fairly Difficult) – Audience includes USDA employees, partners, producers, and the public (an estimated 54% of U.S. adults read at this level)

Referencing Procedures.
- To refer to one directive in another directive, use the directive series designator, number, and title the first time the directive is referenced (e.g., Manual). Thereafter, use only the series designator and number (e.g., DR 1010-001). (DM 0100-001, § 4a)
- To refer to text within a directive, use the conventions [examples as noted in DM 0100-001, § 4b].

Section 508.
- Be sure to comply with Federal Section 508 accessibility requirements when developing a directive.
- Only use the AD-811 (DR) and AD-812 (DM) directive templates. Ensure that you always download and use the latest version. The templates are periodically updated to improve their formatting and Section 508 features.
- Resources:
  - USDA, *Section 508 Accessibility and Compliance* website
  - GSA, *IT Accessibility Laws and Policies* website
  - U.S. Access Board, *Information and Communication Technology – Revised 508 Standards and Guidelines* website
  - W3C, *Web Content Accessibility Guidelines* (WCAG) website

Section Information.
- The basic unit of text in a directive is the numbered section. A numbered section may consist of a single paragraph or several paragraphs or subparagraphs. Subparagraphs are used to separate complex issues within paragraphs or to list conditions, exceptions, or procedures.
- If paragraphs are subdivided, there must be at least two subparagraphs for every subsection level.
- Additional Sections/Subsections. Additional sections and subsections can be used, as appropriate, to present the substance of the directive. The optional sections or subsections should be arranged in order of workflow occurrence, relative importance, or other logical sequence of presentation.

(DM 0100-001, §3a)

DR/DM Formatting and Style

Section/Subsection Numbering.
- The current AD-811 and AD-812 Masthead templates have the required margins, left indents, and hanging indents predefined in the Styles Ribbon (1st Level through 6th Level)
- To properly align each successive subsection level, the tab should be set to align the subsection text 5 spaces from the beginning of the subsection number or letter above it. Sections and subsections should be numbered as follows:
  - o Section (1st Level in Masthead template). Use Arabic numerals followed by a period; i.e., 1., 2., 3., etc. The margin alignment settings are left indent 0" with a hanging indent of .25" (1/4").
  - o Mark Section headings as "Level 1" for the Microsoft Word Navigation pane (References in tool bar, Table of Contents; "Level 1" under the Add Text drop-down menu)
  - o First Level Subsection (2nd Level in Masthead template). Use small letters of the alphabet followed by a period; i.e., a., b., c., etc. The margin alignment settings are left indent of .25" (1/4") with a hanging indent of .31" (5/16").
  - o Second Level Subsection (3rd Level in Masthead template). Use Arabic numerals in parentheses; i.e., (1), (2), (3), etc. The margin alignment settings are left indent of .56" (9/16") with a hanging indent of .31" (5/16").
  - o Third Level Subsection (4th Level in Masthead template). Use small letters of the alphabet in parentheses; i.e., (a), (b), (c), etc. The margin alignment settings are left indent of .88" (7/8") with a hanging indent of .31" (5/16").
  - o Fourth Level Subsection (5th Level in Masthead template). Use Arabic numerals underlined; i.e., 1, 2, 3, etc. The margin alignment settings are left indent of 1.19" (1-3/16") with a hanging indent of .31" (5/16").
  - o Fifth Level Subsection (6th Level in Masthead template). Use small letters of the alphabet underlined; i.e., a, b, c, etc. The margin alignment settings are left indent of 1.5" (1-1/2") with a hanging indent of .31" (5/16").

(DM 0100-001, § 3i)

Spacing and Indenting.
- Single space all text in a directive.
- Double space (1 blank line) between paragraphs.
- Triple space (2 blank lines) between numbered sections.
- In cases where the items in a listing consist of one line each, they may be single spaced; double spacing however is preferred for improved readability and consistent style throughout a directive.

(DM 0100-001, § 3g)
- Hint – Use DR, DM, DG, or DN Template to achieve correct subdivision indents.
- Hint – Use Microsoft Word "No Spacing" style – do not use other Microsoft Word header or paragraph styles – make this selection before the very first character is typed in the new draft.
- Hint – Turn on vertical grid lines while drafting or editing the directive as a visual alignment aid.
- Hint – Line Numbers should run continuously down the left-hand margin without any spacing gaps – if spacing gaps do occur, find and turn off the Microsoft Word header or paragraph style.
- Hint – Use Microsoft Word "1.0" Line Spacing Option (Office 2007 typical default is 1.0; Office 2010 typical default is 1.15).
- Hint – Two spaces after a sentence ending period for improved readability and consistent style, particularly with proportional fonts such as TNR-12 (Microsoft Word can be set up to do this automatically).
- Hint – Two spaces after a colon for correct and consistent style and improved readability; one space after a semi-colon.

Style References.
- GPO, *Style Manual*, 2016
- The University of Chicago Press, *The Chicago Manual of Style,* 17th Edition (GPO *Style Manual* takes precedence for conflicts)

Time.
- Express time numerically per GPO *Style Manual*, Rule 12.9 on page 274 (e.g., 3 hours, 5 business days, or 4 years, unless the first word of a sentence; not "five weeks" or "three (3) months").
- Always specify business or calendar days for clarity.

Watermarks.
- Use of the "DRAFT" watermark is acceptable during the review and clearance stage. The DDM will remove the watermark prior to publication.