

PART 2006 - MANAGEMENT

Subpart D - Managing and Processing National Office Directives

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PART 2006 - MANAGEMENT

Subpart D - Managing and Processing National Office Directives

§ 2006.151 Introduction.

Follow this Instruction to process Rural Development Instruction changes, Federal Register documents, and Administrative Notices (ANs) in the National Office. This Instruction supplements Departmental Regulation (DR) 1512-1, which also prescribes requirements and procedures for developing, reviewing, and issuing regulations. This Instruction does not apply to Rural Utilities Service directives.

§ 2006.152 Definitions.

Circulated drafts. Working drafts routed to one or more individuals or offices.

Procedure Notices (PNs). Transmittals of announcements and summaries of new and revised directives.

RD Instructions. Statements of policy, rules, and regulations prescribing the methods for conducting business. RD Instructions are a type of directive under the Procedure Classification System as explained in § 2006.5 of RD Instruction 2006-A.

Regulations or rules. Statements of general applicability and future effect designed to implement, interpret, or prescribe law or policy or describe procedure or practice requirements.

§§ 2006.153 - 2006.156 [Reserved]

§ 2006.157 ANs and Unnumbered Letters.

(a) Clear Unnumbered Letters with the Regulations and Paperwork Management Branch (RPMB) before signature. (See RD Instruction 2030-C.) (Revised 07-12-00, PN 321.)

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§ 2006.157 (Con.)

(b) Use ANs to make temporary clarifications of existing Instructions, forms, or Forms Manual Inserts (FMIs); to convey information on subjects covered by these issuances; or to provide temporary operating policies or procedures. ANs may not be used to change Instructions, forms, or FMIs (except as indicated in the preceding sentence for temporary policies or procedures); to prescribe continuing operating policies or procedures; or to prescribe policies or procedures, even though temporary, that require Federal Register publication. Clear ANs with interested Rural Development staff offices or officials before submitting to RPMB. Send ANs and Form RD 2006-6, "Clearance and Routing of Rural Development Issuance," to RPMB for review and clearance before submitting for signature. If legal matters are involved, clear ANs with the Office of the General Counsel (OGC) after RPMB review. For ANs which refer to other ANs or Unnumbered Letters, include a copy of the referenced AN or Unnumbered Letter for reference purposes during the review and clearance process. ANs expire not later than the last day of the 12th month after the month of issuance. The expiration date is the last day of the month. The expiration date may not be extended.

(1) Prepare ANs in memorandum format. See Exhibit A for example. File ANs in the Instruction manual following the filing instructions on the AN.

(2) RPMB assigns a serial number for each AN after it is signed and announces ANs on the regular PN. RPMB issues a quarterly checklist of ANs, which is maintained by manual holders. Destroy ANs omitted from the current checklist or ANs that have expired or have been superseded.

§§ 2006.158 - 2006.159 [Reserved]

§ 2006.160 Workplan.

(a) The writer prepares the "Regulatory Review Workplan," in accordance with DR 1512-1. Before preparing a new workplan, the initiating office determines if the proposed regulatory action can be issued under an existing workplan or if an existing workplan can be revised to include the proposed action.

(b) The writer clears the completed workplan through the Division Director, applicable Assistant Administrator or Assistant Deputy Administrator, and Deputy Administrator, if the office reports to a Deputy Administrator. Form RD 2006-6 should be attached to the workplan and include a tracking number. (Revised 07-12-00, PN 321.)

§ 2006.160 (Con.)

(c) After the Division Director's or Deputy Administrator's clearance, submit the workplan to RPMB.

(d) RPMB reviews the workplan, obtains the remaining approvals, and notifies the initiating office of the Office of Management and Budget (OMB) designation.

§§ 2006.161 - 2006.164 [Reserved]

§ 2006.165 RD Instruction processing.

The initiating office must:

(a) Prepare and submit a workplan if required (see DR 1512-1 and § 2006.160 of this Instruction).

(b) Draft the RD Instruction. See Exhibit B for guidelines and requirements. Draft forms and FMIs. Draft changes required in other RD Instructions, forms, and FMIs as a result of the initial change. When partially revising an Instruction, clearly show the changes on copies of current pages of the Instruction. Include both the front and reverse sides of the changed pages even when changes are on only one side of the page. Prepare a Form RD 2006-8, "Procedure Notice Material," for each Instruction. Summarize the change on Form RD 2006-8. All changes to Instructions are issued as page revisions. For each draft, do the following:

(1) Review adopted or pending employee suggestions for including in the drafts as applicable.

(2) Evaluate and analyze the Instruction in accordance with DR 1512-1.

(3) Prepare Form RD 2006-6 in an original only for each RD Instruction. Keep this form on top of the document throughout the processing period. Keep all related papers, circulated drafts, and Forms RD 2006-8 with Form RD 2006-6 at all times.

(c) Clear all Instruction drafts prescribed in paragraph (b) of this section with interested Rural Development staff offices or officials. Have each Form RD 2006-6 initialed by each interested official or division head. Contact RPMB for guidance on processing changes to forms, FMIs, and Guide and Form Letters.

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(d) Contact RPMB for help in obtaining approval under the Paperwork Reduction Act and OMB regulations implementing the Act, of forms and RD Instructions when 10 or more persons from the general public submit information or keep records. This approval is also needed for changes to OMB approved reporting or recordkeeping requirements.

(e) Submit the RD Instruction draft, completed Forms RD 2006-6 and RD 2006-8 and related papers to RPMB for review. When the draft and Form RD 2006-6 are returned, consider comments by clearance officials and take necessary action. The RPMB review process includes:

(1) Recommending any additional clearances needed on an item. The initiating office obtains these clearances, or annotates why the recommended clearances are not being obtained, before it is submitted to the approving official.

(2) Identifying overlap, duplication, internal conflicts, conflicts with other issuances, revisions needed to forms and FMIs, and paperwork burden on the public requiring OMB clearance.

(3) Analysis for compliance with various Departmental, OMB, Office of the Federal Register, and other requirements.

(f) Obtain OGC clearance if necessary.

(g) Return the RD Instruction draft, with all necessary clearances and changes made, and the final typed and proofread pages in both paper form and on disk (see Exhibit B) to RPMB.

(h) Have Form RD 2006-6 signed by the approving official.

(i) Return the approved document to RPMB for coordinating issuance of the Instruction and forms changes and Federal Register publication. If the item will be published in the Federal Register as a Proposed Rule, RPMB holds the RD Instruction draft and related papers until the comment period expires and then sends the draft to the initiating office. The initiating office revises the draft as necessary and clears it in the same manner as the original draft. The Federal Register document is handled according to § 2006.167.

§ 2006.166 [Reserved]

§ 2006.167 Federal Register publication.

Regulations must be published in the Federal Register if they affect the rights, responsibilities, duties, or obligations of the public. Amendments to existing regulations published in the Federal Register must be published or the affected portion of the existing regulation removed. RPMB advises (with advice from OGC) as to the need for Federal Register publication.

(a) Federal Register document preparation and processing. If Federal Register publication is required, the initiating office prepares and processes the Federal Register draft and the RD Instruction draft at the same time as follows:

- (1) Use DR 1512-1 and the Federal Register Document Drafting Handbook as guides for format. Copies of the Handbook have been distributed and it is also available on the Internet. RPMB has a few additional copies. Definitions of Federal Register terms are in the Handbook.
- (2) Prepare Form RD 2006-6 for each draft. Keep it on top of the draft throughout the processing period. Keep all related papers and circulated drafts with Form RD 2006-6 at all times.
- (3) Circulate the Federal Register draft with the RD Instruction draft for clearances. When all interested Rural Development officials, including for program regulations, the Program Support Staff and Civil Rights Staff, have cleared the Instruction, send the draft Instruction and Federal Register document to RPMB for review.
- (4) Upon return from RPMB:
 - (i) Consider RPMB comments and make necessary changes.
 - (ii) Obtain OGC clearance.
 - (iii) Type final document.
 - (iv) Have Form RD 2006-6 signed by the approval official and handle as prescribed in DR 1512-1.
- (5) Return Form RD 2006-6, the Federal Register document with required copies (see paragraph (b) of this section), and the Federal Register document on disk, to RPMB for:

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- (i) Congressional notification.
- (ii) Certifying the Federal Register document.
- (iii) Sending the Federal Register document to the Office of the Federal Register for publication. For documents requesting comments, RPMB sends a copy of all comments received to the initiating office.

(6) The initiating office considers the comments received and makes necessary changes in the item. When the Proposed Rule comment period expires, the initiating office develops and clears the Final Rule document and RD Instruction changes as indicated in paragraphs (a)(1) through (5) of this section.

(b) Copies required. After the Federal Register document is signed, the initiating office provides the required copies to RPMB in addition to the original. Contact RPMB before copying to determine the required number of copies.

§§ 2006.168 - 2006.177 [Reserved]

§ 2006.178 Issuance of directives. (Revised 08-29-01, PN 335).

- (a) PNs. RPMB prepares PNs and they are posted on the Rural Development Homepage.
- (b) Regular PN. Regular PNs are serially numbered and are the normal method for transmitting Instruction changes and forms notices to Rural Development offices.
- (c) Special PN. Special PNs are issued in emergency situations that require directives to reach field offices before it would be possible on the scheduling of the regular PN.
- (d) "P" PN. Personnel ("P") directives are issued when necessary.
- (e) ANs. RPMB posts ANs on the Rural Development Homepage. For AN format, see Exhibit A.

§§ 2006.179 - 2006.181 [Reserved]

§ 2006.182 Directives records and information services.

RPMB arranges for distributing daily issues of the Federal Register to National Office staffs and State Offices for their convenience in keeping up-to-date on program changes. RPMB also arranges for distributing revised volumes of the CFR to National Office staffs. RPMB is the official repository in the National Office for the following reference files and records of directives and other Departmental regulation material applicable to Rural Development and its predecessor agencies. The following material is available for public inspection, historical purposes, and use in developing National directives issuances:(Revised 08-29-01, PN 335).

(a) Current material. (Revised 08-29-01, PN 335).

- (1) A complete Master Manual of Rural Development directives (including RD Instructions, PNs, FMIs, Guide and Form Letters, ANs, Tables of Contents, and Forms Reference Lists).
- (2) A Master Manual of RD forms, AD forms, Standard forms, and other forms used by Rural Development.
- (3) Numbered memoranda issued by the Office of the Secretary of Agriculture, and Departmental Announcements, Notices, Regulations, and Manuals.
- (4) OMB circulars and bulletins.

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§ 2006.182(b)

- (b) Obsolete material. A complete Master Manual of obsolete or superseded procedural issuances released by the National Office.
- (c) Rural Development official files of approved documents.
 - (1) Official files containing working papers (circulated drafts and related papers) and approved copies of RD Instruction changes and Federal Register documents including comments received.
 - (2) Official files remain in RPMB until an Instruction is completely revised, then the file is sent to and maintained by the Central File Unit.
- (d) Control records. A cross-reference system of both current and obsolete National directives.

§§ 2006.183 - 2006.200 [Reserved]

Attachments: Exhibits A and B.

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RD AN No. _____ (2006-D)

(omit date - Regulations and Paperwork
Management Branch (RPMB) dates after
AN is signed)

SUBJECT: Administrative Notices (ANs) - Format

TO:

Purpose/Intended Outcome: (Why is this AN being issued? What does Rural
Development hope to accomplish by it?)

Comparison with Previous AN: (Does this AN replace or supplement a previously
issued AN? If so, why is this change being made? This section may be omitted
if no previous AN on subject exists.)

Implementation Responsibilities (to include the following):

- What is to be done?
- Who is to do it?
- How will it be done?
- Who will monitor; at what level?
- What reports will be submitted to State or National Office?

Approval Official

Attachments (if appropriate)

EXPIRATION DATE: (Must be the last day of the month,
but no later than the 12th month
after signature. (Example: If
signed August 6, 1997, must be
no later than August 31, 1998.))

FILING INSTRUCTIONS:
Preceding RD
Instruction 2006-D

Please include the underlined subject headings to delineate each section. The "Implementation Responsibilities" may be written in narrative form provided all questions are covered.

The purpose of this format is to improve clarity and ease of understanding by standardizing the way information is presented in ANs. To be most useful in the field an AN must be clear and concise, preferably only one page long.

If examples are necessary, they should be included as attachments.

ANs expire not later than the last day of the 12th month after the month of issuance. The expiration date is the last day of the month. Place the expiration date in the bottom left corner of the first page.

Indicate the filing instructions in the bottom right corner of the first page.

After signature, RPMB assigns a serial number for each AN. The classification number is the same as the filing instruction number. Show the serial number followed by the classification number, in parentheses, in the top right corner. RPMB forwards for printing.

Printed copies of ANs sent by electronic mail are distributed to addressees. Do not send ANs by electronic mail unless they contain time sensitive information which must be received by addressees in advance of the printed copy. For ANs sent by electronic mail, type one of the following statements at the end of the document:

- . Sent by Electronic Mail on (date) at (time) by (sending office).
- . Sent by Electronic Mail on (date) at (time) by (sending office).
The State Director should advise other personnel as appropriate.

GUIDELINES AND REQUIREMENTS FOR FORMATING AND TYPING INSTRUCTIONS

CURRENT INSTRUCTION PAGES

- (a) Obtain the current Electronic Instruction pages needed for the revision by one of the following methods:
- (1) Download the "DOC" file from the INTERNET.
 - (2) If the INTERNET is not available, request the documents be provided on a disk from the Regulations and Paperwork Management Branch (RPMB) by providing RPMB with a list of Instruction pages required (in writing for six or more Instructions).
- (b) Instructions must be typed using Microsoft Word for Windows 6.0 (earlier versions of Microsoft Word or any version of Word Perfect should not be used).

REVISION OF PAGES

SYSTEM REQUIREMENTS

- (a) TEMPLATE: LASREG.DOT.
- (1) The template should be loaded in the following directory:
c:/msoffice/winword/template
 - (2) RPMB will supply a copy (on disk) upon request.
- (b) PRINTER: Hewlett Packard LaserJet II, III, or 4 or other laser printer with comparable features should be used.

REVISION OF PAGES (CON.)

MICROSOFT WORD FOR WINDOWS SETUP

The following options must be set for each Instruction document:

Tools

Options

General Tab

Measurement Units

Inches

View Tab

Window

Status Bar

Horizontal Scroll Bar

Vertical Scroll Bar

Style Area Width

1.25"

Tools

AutoCorrect

Replace Text as You Type

File

Page Setup

Margin Tab

Top 1"

Bottom 1"

Left 1"

Right 1"

Apply to Whole Document

PREPARATION OF DOCUMENT

(a) Load document.

(b) Attach template:

Highlight entire document (Ctrl-A)

Format

Style Gallery

Template: LASREG

OK

REVISION OF PAGES

PREPARATION OF DOCUMENT (CON.)

(c) Document format requirements. Attachment 1 of this Exhibit provides the format guidelines and also is an example of a final typed Instruction.

- (1) Styles must be used throughout the document, except for the paragraphs that have special formatting for which a Style is not available. To apply a Style to a paragraph, highlight the paragraph and click on the Style Dialog Box and choose the appropriate Style.
- (2) All margins must be set at 1".
- (3) The Font style must be "Courier" and size "10."
- (4) Paragraph line spacing must be "Exactly" "12 pt."
- (5) The Instruction number must be at the top right margin on odd pages and the top left margin on even numbered pages.
- (6) Alpha pages are always added after an even numbered page.
- (7) Page numbers must be typed in the document (not computer generated page numbers).
- (8) Hard page breaks must be used throughout the document.
- (9) The correct section symbol (§) can be obtained by typing Alt-0167. (In some older documents you may need to search for the { symbol and replace it with the § symbol.)

RETURN OF FINAL TYPED INSTRUCTION PAGES TO RPMB

Provide RPMB with final typed Instruction pages (revised pages only) on disk.

NOTE: The initiating office/writer is responsible for providing the approved Instruction pages to RPMB following final approval signature and before the Procedure Notice is sent to the printer.

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Format Guidelines
and
Example of Final Typed Instruction

RD Instruction 2006-D

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Subpart D - Instruction Format

§ 2006.151 General.

This shows the format to follow in preparing Instructions for submission to the Regulations and Paperwork Management Branch (RPMB) for release to the National Office and field offices. The format of Exhibits varies according to the thought the Exhibit conveys.

(a) Format. Provide headings for parts, subparts, and sections. Headings may be used at the paragraph levels. Underscore section and paragraph headings.

(1) If a paragraph "(1)" is assigned a heading, assign paragraph "(2)" and any succeeding paragraph at that level a heading.

(2) If there is a paragraph (a), (1), (i), (A), (1), or (i), there must be at least one more paragraph which follows at the same level. Otherwise, include it in the preceding paragraph.

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(00-00-00) SPECIAL PN

(08-20-97) PN 280

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§ 2006.151(a)(2) (Con.)

(i) Referencing within an Instruction is as follows:

(A) The first time a form is mentioned show the title immediately following the form number. Thereafter, show only the form number. A list of docket forms is an exception, in which case show the form number and title.

(B) When referencing another Instruction, show only the Instruction number. Do not show the title. Also, when referencing Exhibits, Attachments, Appendices, or Form or Guide Letters do not show the title.

(C) Reference Exhibits, attached to the Instruction, at the end of the Table of Contents (see Exhibit A of this Instruction (page 6 of this Attachment)), in the text of the Instruction, and at the end of the Instruction (e.g., "Attachments: Exhibits A and B.").

(ii) A Table of Contents is required when the Instruction (excluding exhibits) is five pages or more. Exhibit A of this Instruction (page 6 of this Attachment) is a sample Table of Contents.

(A) Allow expansion room at the bottom of each page for additional sentences or words to be added later. This often eliminates adding subsequent pages for these additions.

(B) At the bottom of the first Instruction page, above the page number, there must be a line separation between the text of the Instruction and the distribution and classification code (see positioning on previous page).

(1) When continuing to the next page, the Instruction number should be at the top right margin on odd numbered pages and top left margin on even numbered pages. On the line below the Instruction number proceed as follows:

§ 2006.151(a)(2)(B)(1) (Con.)

(i) For Instruction pages, include a continuation identification at the left margin of all pages followed by two blank lines (as shown above). For pages that begin with a new section, a continuation identification is not necessary.

(ii) For Table of Contents and Exhibit pages, type "Table of Contents" or Exhibit identification flush with the margins mentioned in paragraph (a)(2)(ii)(B)(1) of this section.

(2) Number each page of the Table of Contents, Instructions, Exhibits, etc. Refer to paragraph (e) of this section for additional guidelines.

(i) Do not use subparagraphing at this level unless absolutely necessary.

(ii) The writer assigns paragraph numbers.

(b) Paragraph level indentation. The section must be at the left margin. Indent the first line of all section paragraphs five spaces from the left margin. Indent the entire first subparagraph level five spaces and each entire successive subparagraph level an additional five spaces as in paragraph (a) of this section.

(c) Paragraph carryover. When it is necessary to carry over the typing of a paragraph to the next page, carry at least two full lines.

(d) Revision citation. The date and number of the Procedure Notice (PN) that the Table of Contents, Instruction, and/or Exhibit was completely revised. It should always be at the bottom left margin on odd numbered pages. When the revision citation is unknown, space must be left for insertion (as shown on pages 1, 3, and 5 of this Instruction (pages 1, 3, 5, and 6 of this Attachment)).

(e) Page numbering. Number each page consecutively.

(1) Instruction pages. Add an additional centered blank line below the page number for future page revisions/additions.

(i) Odd page numbers should be centered, at least two lines below the text and two lines above the revision citation. For page number 1 see paragraph (a)(2)(ii)(B) of this section.

(ii) Even page numbers should be centered and at least two lines below the text.

(iii) Alpha pages are always added after an even numbered page. The "A, C, etc." numbered pages are formatted as odd numbered pages and the "B, D, etc." numbered pages are formatted as even numbered pages.

(2) Table of Contents and Exhibit pages. Page numbers are inserted on the line below the identification and flush with the margin. Add an additional blank line below the number for future page revisions/additions. See examples below:

Even numbered page

RD Instruction 2006-D
Table of Contents
Page 2
(Revision 1)

Odd numbered page

RD Instruction 2006-D
Table of Contents
Page 1
(Revision 1)

§ 2006.152 Page revisions.

When revising only part of an Instruction and making changes in specific paragraphs, add "(Revised 00-00-00, SPECIAL PN.)," "(Added 00-00-00, SPECIAL PN.)," "(Renumbered 00-00-00, SPECIAL PN.)," or "(Revised and renumbered 00-00-00, SPECIAL PN.)," at the end of each changed/added paragraph, as appropriate. RPMB inserts the revised date and PN number when the Instruction is released.

§ 2006.153 Editorial services.

When the draft of the Instruction is sent to RPMB for analysis, RPMB will also indicate editorial changes on the draft.

§§ 2006.154 - 2006.200 [Reserved] - Reserve sections at any place in the Instruction for later addition of information.

Attachment: Exhibit A.

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SAMPLE TABLE OF CONTENTS
(Required when Text of Instruction is 5 pages or more)

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Subpart D - Instruction Format

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Exhibit A - Sample Table of Contents

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(00-00-00) SPECIAL PN

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