

**Forest Service Handbook
National Headquarters - Washington Office
Washington, DC**

**Forest Service Handbook 1109.12 – Directive System Handbook
Chapter 20 - Coordination and Approval**

Amendment: 1109.12-2002-4

Effective date: April 30, 2002

Duration: This amendment is effective until superseded or removed.

Superseded Directive: 2, Amendment 1109.12-91-4, June 18, 1991

Approved by: Thomas J. Mills, Acting Deputy Chief for Business Operations

Date approved: April 16, 2002

Responsible Staff:

Posting Instructions: Amendments are numbered consecutively by Handbook number and calendar year. Post by document; remove the entire document and replace it with this amendment. Retain this transmittal as the first page(s) of this document. The last amendment to this Handbook was 1109.12-2002-3 to 1109.12_contents.

Explanation of changes: Following is an explanation of the changes throughout the directive by section.

20: Reorganizes, recodes, and revises direction throughout this chapter on Coordination and Approval. Contains material formerly coded as chapter 2. Revises Washington Office Staff names and makes other minor technical and additional changes.

21: Revises and consolidates direction on coordination of direction, some of which was formerly in sections 2.11 to 2.11c.

22: Adds direction on Prior Approval of Outlines and New Codes (formerly sec. 2.2). Clarifies that the Directive Manager must approve major changes in coding before writing begins.

23-23.11b: Revises direction and recodes sections on Clearance and Approval of Draft and Final Directives (formerly sec. 2.3 - 2.32). Adds exhibits 01-04, section 23, which contains the steps in preparing and submitting directives in the Washington Office. Adds direction that directive review and clearance include compliance with: National Environmental Policy Act procedures

(FSM 1950; FSH 1909.15); the Agency's Mission, Vision, and Guiding Principles (FSM 1020); and the negotiated union contract. Clarifies that the clearance process applies Service-wide (sec. 23). Adds exhibits 05 and 06 to section 23 displaying checklists used by Directive Analysts in the Washington Office for reviewing draft and final directives.

24: Clarifies direction on filing, retention, and retrieval of record copies of directives (formerly sec. 2.4).

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21 - Coordination

1. Authors are expected to coordinate proposed directives with other affected staff and units early in the process. Coordination is always required: the degree varies with the type of directive and its probable impact on other programs and activities. Coordination may be requested on a formal or informal basis. It involves evaluation of substantive issues, such as accuracy; consistency with law, regulations, and related policy; and relationship to related programs and procedures, as well as language usage, style, writing quality, and organization.

2. The scope of an intended directive and all other program operations, which may be impacted, should be considered when deciding which units should be contacted. Do not overlook checking with the appropriate employee relations and labor management unit or Personnel Officer on any proposed directive, which may impact the working conditions or environment of Forest Service employees (FSM 6171).

3. Any proposed directive, which explicitly or implicitly assigns a GS grade level to a category of work, must be cleared with the Director of Human Resources Management. An example is a directive that would specify that only employees occupying GS-11 positions may be assigned certain contract inspection work.

4. Where time permits, seek review by prospective directive users, particularly if the direction is to be carried out by on-the-ground District, project, or program personnel. Field review provides a good test of whether a directive will be understood and can actually be implemented. Generally, this field review should not occur until a draft has been reviewed by the Directive Manager and revised in response to that review.

22 - Prior Approval of Outlines and New Codes

See FSM 1110.73 for direction on establishing reserved codes. Outlines for new, previously uncoded material and for major changes in existing codes are required and must be approved by the Directive Manager before writing begins.

Early contact with the Directive Manager often saves time and makes the writing and processing phase easier. Resolve questions about such matters as organization, format, coding, plans for nonstandard Handbooks, and scheduling before completing the planning phase (sec. 11). Early coordination is required to obtain approval of new forms, reports, and information requirements and to schedule availability of stocks of new paper forms or issuance of an electronic form to coincide with directive issuance.

23 - Preparation, Clearance, and Approval of Draft and Final Directives

See FSM 1122 for further direction on directive review and clearance. All directives, including interim directives, are subject to formal clearance and approval before issuance at the Washington Office and field unit level.

1. Exhibits 01-04 set out the steps to be followed in the Washington Office for preparing, clearing, and approving Service-wide directives. Exhibits 05 and 06 display the analyst checklists used in reviewing draft and final directives. See also section 11, exhibit 01, for a checklist summarizing steps for directive authors for the planning, writing, and clearance and analysis of directives.

These instructions also are located on the Service-wide Directives Washington Office Home Page on the Forest Service Web (FSWeb/Intranet) in the *User Aids* section at:

<http://fsweb.wo.fs.fed.us/directives/index.html>

Field units may issue supplements to these exhibits (exs. 01-04 of sec. 23) for procedures specific to the units for directive preparation, clearance, and approval. Field units must ensure that the Directive Manager reviews proposed directives at both draft and final stages and that applicable integrated reviews occur for impacts on records management, Freedom of Information Act (FOIA), Privacy Act (PA), forms and reports, and information requirements, and for compliance with National Environmental Policy Act (NEPA) procedures (FSM 1950, FSH 1909.15), the Agency's Mission, Vision, and Guiding Principles (FSM 1020), and the negotiated union contract.

2. Authoring Staffs must properly submit draft directives, ensure that required reviews have been documented as applicable on Form FS-1100-2, Directive Amendment or Supplement Processing Request, or Form FS-1100-2a, Interim Directive Processing Request, and comply with the following review requirements applicable to the directive (FSM 1120):

a. Requirements of Title 36, Code of Federal Regulations, Part 216 (36 CFR Part 216) for considering the need to provide public notice and comment on directives (FSM 1013); and requirements of 40 CFR parts 1500-1508 and 7 CFR 1b for compliance with the National Environmental Policy Act procedures (FSM 1950, FSH 1909.15).

b. Agency policy on information requirements (FSM 1390; FSH 1309.14); records management (FSM 6230; FSH 6209.14); forms and reports (FSM 1370, 1380; FSH 1309.14); Freedom of Information Act and Privacy Act (FSM 6270; FSH 6209.13); and the Agency's Mission, Vision, and Guiding Principles (FSM 1020).

c. The master agreement between the Forest Service and the union for directives affecting working conditions.

In order to accommodate different clearance procedures and organizational structures, and to conform the forms to any specialized unit procedures and clearances, field units may revise Form FS-1100-2, Directive Amendment or Supplement Processing Request, and Form FS-1100-2a, Interim Directive Processing Request, as needed.

On Form FS-1100-2 and Form FS-1100-2a, the certifications for Staff Directors, the Directive Manager (Form FS-1100-2 only), and the approving line officer are mandatory minimum Service-wide requirements; field units may expand these statements but may not delete them from any customized directive processing form.

23 - Exhibit 01

Draft Amendment or Supplement Preparation and Review of a Draft Amendment or Supplement in the Washington Office

NOTE: Refer to the direction in FSM 1100-1120 and FSH 1109.12, Directive System Handbook, chapters 10-30, in drafting your directive.

1. **Documents Required.** Use the following procedures in preparing draft Service-wide amendments to the Forest Service Manual (FSM) and Handbooks (FSH's). In preparing Service-wide supplements to external Handbooks, use the following procedures except that coding must comply with the coding requirements of the external parent text.

Prepare and assemble the following documents in the order shown:

- a. Form FS-1100-2, Directive Amendment or Supplement Processing Request, for each FSM or FSH chapter affected unless the amendment modifies an entire Handbook or issues a new Handbook (sec. 23.21). (**Note:** This form is available on the FSWeb and must be created as a separate document.)
- b. For a **substantive** Manual amendment **only**, a letter to the record indicating the reasons why the FSM amendment does or does not require a Federal Register notice and opportunity for public comment as required by Title 36, Code of Federal Regulations, part 216 (36 CFR part 216).
- c. FSM or FSH Transmittal Page.
- d. Table(s) of contents for each document. See FSH 1109.12, section 33.3 for direction on generating a table of contents.
 - (1) For chapters that are 100 single-spaced pages or less, the table of contents is part of the chapter document.
 - (2) For chapters that exceed 100 pages, which are divided into more than one document, the table of contents is created as part of each document within a chapter. In these cases, do not create a consolidated table of contents for an entire chapter (FSH 1109.12, sec. 33).
- e. The text pages (including exhibits) of the draft amendment, showing additions, deletions, and revisions to existing direction.
- f. For directives distributed only in paper form, copies of superseded pages, including both sides of parent text pages, even if one side has no changes.

23 - Exhibit 01--Continued

Draft Amendment or Supplement

2. Where To Find the Documents. Formats for FSM and FSH amendments, sample public notice and comment letters, and other user aids are available on the Service-wide Directives Home Page (FSWeb/Intranet):

<http://fsweb.wo.fs.fed.us/directives/index.html>

From the Service-wide Directives Home Page, click on the link to *User Aids*, and the list of documents will be displayed by category, such as *Directive Forms and Formats* or *Checklists and Instructions to Authors*.

3. Filing Electronic Documents. To ensure you are revising current direction, obtain the existing FSM or FSH text electronically from the FSWeb Service-wide Directives Home Page. Select the link to the Service-wide Issuances for either the Forest Service Manual (FSM) or Forest Service Handbooks (FSH). Select the link to a series, such as 1000 - Organization and Management. Continue selecting from the menus provided until the document is accessed.

- a. Click on the link to the document. (A link is indicated by having the text underlined.)
- b. Choose File.
- c. Choose Save As. Navigate to the file area where you want to file the document. In the dialogue box, type a unique file name. Use "Save As" to file the appropriate FSM or FSH amendment document in your STAFF or UNIT space as a Word Document (.doc). (Do not create the document in your personal file space, which would not provide the necessary permissions if, in your absence, others may need access to the document.)

4. Converting Paper Copy Documents to Electronic Documents.

- a. Paper Copy Only Handbooks. For those Handbooks available in paper form only, the text of the directive, as well as the Form FS-1100-2 and transmittal page, must be a MSWord Document (.doc). The Service-wide Directive Manager must approve use of other document types in advance. (**Note:** The Form FS-1100-2 must be created as a separate document.)
- b. Paper Copy Only Exhibits. For exhibits currently available in paper form only, authors are encouraged to enter the contents of the exhibit as a Word Document (.doc). The Directive Manager must approve use of other document types in advance.

23 - Exhibit 01--Continued

Draft Amendment or Supplement

5. How To Prepare the Documents.

a. **FIRST:** Form FS-1100-2, Directive Amendment or Supplement Processing Request. Use Save As to file the form in your STAFF or UNIT space as a Word Document. Complete blocks 1-6e on Form FS-1100-2; instructions are provided directly on the form. DO NOT lengthen the form; it must remain as 1 page. (Do not create the document in your personal file space, which would not provide the necessary permissions if, in your absence, others need access to the document.)

b. **SECOND:** Transmittal Page. Normally, this is the first page of the directive format.

(1) Manual or Handbook Title. Enter the code and caption of the Manual or Handbook title.

Example of a FSM Title:

FSM 1100 - DIRECTIVE SYSTEM

Example of a FSH Title:

FSH 1109.12 - DIRECTIVE SYSTEM HANDBOOK

(2) Chapter Code. Enter the chapter code and caption.

Example of a FSM chapter:

CHAPTER 1110 - DIRECTIVE SYSTEM STRUCTURE AND STANDARDS

Example of a FSH chapter:

CHAPTER 20 - COORDINATION AND APPROVAL

(3) Amendment Number. Do not fill in the number. The Directive Manager completes this field.

(4) Effective Date. Do not fill in the date. The Directive Manager completes this field.

23 - Exhibit 01--Continued

Draft Amendment or Supplement

(5) Duration. Do not revise the wording displayed on the transmittal page.

(6) Approved. Do not enter the name and title of approving official. The Directive Manager completes this field after the approving official signs the directive.

(7) Date Approved. Do not enter the date the approving official signs the directive. The Directive Manager completes this field after the approving official signs the directive.

(8) Posting Instructions. Do not revise the wording displayed on the transmittal page. Do not fill in the last amendment number. The Directive Manager completes this field.

(9) New Document. Enter the name of the new document in the second column and the number of pages in the document in the third column as follows:

New Document	1109.12_20	30 Pages
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(10) Superseded Document(s) (Amendment Number and Effective Date). Effective June 1, 1990, FSM amendments and supplements, as well as most Handbook supplements, are issued on a document basis, rather than on a page-by-page basis. That means any time there is a revision of direction the entire document is reissued.

(a) The chapter or document table of contents is no longer issued as a separate document but is incorporated in the amendment or supplement. Prior to 2001, however, the table of contents was issued as a document separate from the rest of the chapter or document. If such a separate table of contents is affected by this revision, list the table of contents document affected. For example, if you are amending FSM 2420, the first superseded document to be listed is 2420_contents.

(b) List the numerical document name of each directive being superseded followed by the amendment, supplement, or interim directive number and the effective date within parentheses in the second column and the number of pages of each document in the third column as follows:

Superseded Document(s) by Issuance Number and Effective Date	1109.12,2 (Amendment 1109.12-91-4, 06/18/1991)	6 Pages
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23 - Exhibit 01--Continued

Draft Amendment or Supplement

(c) If there are no superseded documents, enter the word "None" in the second column and remove the word "Pages" in the third column as follows:

Superseded Document(s) by Issuance Number and Effective Date	None	
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(11) Digest:

(a) List changes in sequence by each affected section code.

(b) Summarize the change being made; use active voice, present tense; for example:

2496.1 - Adds a new annual report requirement for salvage sales.

(c) Continue on a second page if necessary.

c. **THIRD:** Public Notice and Comment Determination. For substantive Manual amendments, create a letter to the file documenting the determination of need for public notice and comment. Refer to FSM 1013 and 36 CFR part 216 for guidance. Create this letter as a document separate from your amendment package so that it can be properly signed.

(1) Create a document in the Correspondence Database as an informal letter. In the *User Aids* section of the Directives Home Page on the FS Web/Intranet, see examples of letters under the section "*Sample Public Notice and Comment Documents,*" and draft the letter stating the reasons why notice and comment is or is not required.

(2) Prepare the letter for the Staff Director's signature. Each letter must be signed in ink and sent to the Directive Manager, Information Resources Management Staff in paper form. If you plan to submit the draft amendment electronically, the letter with an electronic signature may be submitted at the draft stage, but the signed original is required when the final amendment is submitted.

NOTE: Retain a file copy in your staff files, as the original is part of the permanent record filed with the final directive.

23 - Exhibit 01--Continued

Draft Amendment or Supplement

d. **FOURTH:** Text of directive. Use "Save As" to file the appropriate FSM or FSH amendment document in your STAFF or UNIT space as a MSWord Document. (Do not create the directive document in your personal file space, which would not provide the necessary permissions if, in your absence, others may need access to the document.)

(1) Include the table of contents as part of the document for each chapter. (The table of contents follows the transmittal page.)

(2) Include any revised and new text pages in the draft directive or prepare an entirely new document incorporating proposed changes. If the chapter currently has more than one document, consolidate the documents into one document if the total number of pages does not exceed 100 single-spaced pages. If the chapter exceeds 100 pages, divide the chapter into 2 or more documents depending on chapter length.

(3) Provide a marked-up copy of the existing directive showing where material has been added, removed, or revised. Preferably, this copy should be marked by hand; however, changes also may be indicated by bold face for new material and brackets for deleted material.

e. **FIFTH AND LAST:** Sign block 6b (signature of directive author) of Form FS-1100-2 either electronically or in ink. Transmit the completed package electronically to wo_directives@fs.fed.us (to *wo Directives* for internal Forest Service mail) or send a paper copy to the Information Resources Management Staff, to the attention of the Directives and Regulations (D&R) Branch, Production and Distribution Unit, Mail Stop 1134, Room 800 RPE. If the directive is submitted electronically, be sure to include a message that the electronic directive package is being submitted for review, and a paper copy will not follow.

If you send a paper copy, the text of the directive must be double-spaced, but do not double-space the Form FS-1100-2.

* * * * *

Note: Upon receipt, the Information Resources Management Staff, Directives and Regulations Branch, will check the submission. If any of the required documents are incomplete or missing, the Branch will return the package to the author for correction. If the submission is correctly prepared, the draft amendment or supplement is assigned to an analyst to review, mark for revisions and queries, and return to the author to finalize and clear.

23 - Exhibit 02

Final Amendment or Supplement

Preparation, Clearance, and Approval of Final Amendment or Supplement in the Washington Office

NOTE: Refer to the direction in FSM 1100-1120 and FSH 1109.12, Directive System Handbook, chapters 10-30, in finalizing your directive.

1. Make the changes indicated. After the Directives and Regulations Branch and other Information Resources Management Staff personnel have reviewed and returned the draft amendment and supplement to you, make the changes indicated.
 - a. Retain the original paper copy of the Form FS-1100-2 with the Directive Analyst's initials. Do not create a new form unless you have been advised to do so by the Directive Analyst. If you need to create a new form, attach the previous one behind it. The original form is part of the permanent record of this directive.
 - b. Also retain the marked-up draft and any additional comments made by the analyst. They must be returned with the final amendment or supplement.
2. Prepare and print the final amendment or supplement, double-spaced. You may submit only affected text pages or incorporate the changes into the entire document (or documents) affected by this amendment or supplement. If the chapter has more than one document, consolidate the documents into one document if the total number of pages does not exceed 100 single spaced pages. If the chapter exceeds 100 single-spaced pages, divide the chapter into 2 or more documents depending on the chapter length. Generate a table of contents for each document within the chapter.
3. Complete coordination. Formally coordinate review of the revised directive with any other affected Staffs, obtaining names, initials, and dates in block 11 of Form FS-1100-2. Make any changes necessary based on review by other Staffs. If changes are substantive, contact the Information Resources Management Staff, Directives and Regulations Branch to determine if a second draft directive should be submitted for review.
4. Assemble the final amendment or supplement package. Make sure that the digest is still accurate and the table of contents is included.

The package should include paper copies of the following in the order shown:

- a. Form FS-1100-2, Directive Amendment or Supplement Processing Request.

23 - Exhibit 02--Continued

Final Amendment or Supplement

- b. For a substantive Manual amendment only, the signed paper copy of the letter to the record indicating the reasons why the FSM amendment does or does not require a Federal Register notice and opportunity for public comment. (This letter was prepared at the draft stage. If you submitted an electronically signed version at the draft stage, you must now attach the signed original letter to the Form FS-1100-2. This letter and the form are part of the permanent record for the amendment.)
 - c. FSM or FSH transmittal page.
 - d. Table of contents. (The table of contents is included as part of the chapter rather than as a separate document.)
 - e. **Affected pages** or the **entire document** in which the amendment appears. The directive text must be printed out double-spaced in paper copy. However, do not double-space the Form FS-1100-2 or letter.
 - f. Marked-up draft and the Directive Analyst's comments on the draft. (Place these at the end of the package.)
5. Obtain Staff Director's signature. Have the Staff Director (or acting) sign and date block 12 of Form FS-1100-2. This must be an ORIGINAL signature on the paper copy, not an electronic signature.
6. Submit the final amendment or supplement in paper form to the Directives and Regulations Branch. Submit the final package in paper form to the Information Resources Management Staff, to the attention of the Directives and Regulations (D&R) Branch, Production and Distribution Unit, Mail Stop 1134, Room 800 RPE. The text of the directive must be double-spaced, but do not double-space the Form FS-1100-2 or letter. Notify the Directive Analyst if a special effective date is required or include a note with the paper copy.
7. Submit the final amendment or supplement electronically. Submit the text of the directive as a Word Document (.doc) electronically to *wo_directives@fs.fed.us* (to *wo Directives* for internal Forest Service mail). Make clear in the electronic message that this is a final directive and that the paper copy has been sent. Instead of mailing the electronic document, you also may submit a diskette with the paper copy package (para. 6).

23 - Exhibit 02--Continued

Final Amendment or Supplement

8. Special Effective Date. Normally the effective date of an amendment or supplement is 15 working days after the day the line officer signs the directive (FSM 1113.4). If there are special circumstances calling for an earlier or later effective date (for example, to correspond with the date of publication of a related Federal Register notice):

- a. Consult with the Directive Analyst to establish the special effective date,
- b. Attach a note with the paper copy amendment or supplement specifying the date, and
- c. Include a message about the special date when submitting the amendment electronically to *wo_directives@fs.fed.us* (to *wo Directives* for internal Forest Service mail).

* * * * *

Note: Upon receipt, the Information Resources Management Staff, Directives and Regulations Branch, will check your submission.

1. If any of the required documents are incomplete or missing, the Branch will contract you and, if necessary, will return the package for correction.
2. If the submission is correctly prepared, the final amendment and supplement is assigned to an analyst for review.
3. Following the review, the Production and Distribution Unit completes the final formatting and numbering of the directive; sends it to the line officer for signature; posts the signed directives electronically on the Service-wide Directives Home Pages on the World Wide Web (www)/Internet and the Forest Service Web (FSWeb)/Intranet; posts the paper copy in the directive master set; and completes any other paper and electronic distribution needed for this amendment or supplement.

23 - Exhibit 03

Draft Interim Directive

Preparation and Review of a Draft Interim Directive in the Washington Office

NOTE: Refer to the Direction in FSM 1100-1120 and FSH 1109.12, Directive System Handbook, chapters 10-30, in drafting your interim directive.

1. Documents Required. Use the following procedures in preparing draft Service-wide interim directives to the Forest Service Manual (FSM) and Handbooks (FSH's). In preparing Service-wide interim directives to external Handbooks, use the following procedures, except that coding must comply with the coding requirements of the external parent text.

Prepare and assemble the following documents in the order shown:

- a. Form FS-1100-2a, Interim Directive Processing Request, for each FSM or FSH chapter affected by the ID. (**Note:** This form is available on the FSWeb and must be created as a separate document.)
- b. For a substantive Manual ID only, a letter to the record indicating the reasons why the FSM ID does or does not requires a Federal Register notice and opportunity for public comment as required by Title 36, Code of Federal Regulations, part 216 (36 CFR part 216).
- c. FSM or FSH Interim Directive Transmittal Page.
- d. Table of contents if the ID requires establishment of a code to accommodate the ID. (**Note:** Only the new codes and captions will appear in the table of contents.)
- e. The text pages (including exhibits) of the draft ID. Prepare a separate ID for each FSM and FSH chapter affected. The ID contains only new and revised direction (not the text of an entire chapter).

2. Where to Find the Documents. The formats for FSM and FSH interim directives, sample public notice and comment letters, and other user aids are available on the Service-wide Directives Home Page (FSWeb/Intranet):

<http://fsweb.wo.fs.fed.us/directives/index.html>

From the Service-wide Directives Home Page, click on the link to *User Aids*, and the list of documents will be displayed by category, such as *Directive Forms and Formats* or *Checklists and Instructions to Authors*.

23 - Exhibit 03--Continued

Draft Interim Directive

3. Filing and Mailing Electronic Documents. To ensure you are revising current direction, obtain existing FSM or FSH text electronically from the FSWeb Service-wide Directives Home Page. Select the link to the Service-wide Issuance for either the Forest Service Manual (FSM) or Forest Service Handbook (FSH). Select the link to a series, such as 1000 - Organization and Management. Continue selecting from the menus provided until the document is accessed.

a. Click on the link to the document. (A link is indicated by having the text underlined.)

b. Choose File.

c. Choose Save As. Navigate to the file area where you want to file the document. In the dialogue box, type a unique file name. Use "Save As" to file the appropriate parent text FSM or FSH amendment document in your STAFF or UNIT space as a Word Document (.doc). In the ID, include *only* those sections that are new or revised. (Do not create the document in your personal file space, which would not provide the necessary permissions if, in your absence, others may need access to the document.)

4. Converting Paper Copy Documents to Electronic Documents.

a. Paper Copy Only Handbooks. For those Handbooks available in paper form only, the text of the interim directive, as well as the Form FS-1100-2a and transmittal page, must be a Word Document (.doc). The Service-wide Directive Manager must approve use of other document types in advance. (**Note**: The Form FS-1100-2a must be created as a separate document.)

b. Paper Copy Only Exhibits. For exhibits currently available in paper form only, authors are encouraged to enter the contents of the exhibit as a Word Document. The Directive Manager must approve use of other document types in advance.

5. How To Prepare the Documents.

a. **FIRST**: Form FS-1100-2a, Interim Directive Processing Request. Use Save As to file the form in your STAFF or UNIT space as a Word Document. Complete blocks 1-5e on Form FS-1100-2a; instructions are provided directly on the form. DO NOT lengthen the form; it must remain as 1 page. (Do not create the document in your personal file space, which would not provide the necessary permissions if, in your absence, others need access to the document.)

23 - Exhibit 03--Continued

Draft Interim Directive

b. **SECOND:** Transmittal Page. Normally, this is the first page of the directive format.

(1) Manual or Handbook Title. Enter the code and caption of the Manual or Handbook title.

Example of a FSM Title:

FSM 1100 - DIRECTIVE SYSTEM

Example of a FSH Title:

FSH 1109.12 - DIRECTIVE SYSTEM HANDBOOK

(2) Chapter Code. Enter the chapter code and caption.

Example of a FSM chapter:

CHAPTER 1110 - DIRECTIVE SYSTEM STRUCTURE AND STANDARDS

Example of a FSH chapter:

CHAPTER 20 - COORDINATION AND APPROVAL

(3) Interim Directive Number. Do not fill in the number. The Directive Manager completes this field.

(4) Effective Date. Do not fill in the date. The Directive Manager completes this field.

(5) Duration. Do not revise the wording displayed on the transmittal page.

(6) Approved. Do not enter the name and title of approving official. The Directive Manager completes this field after the approving official signs the directive.

(7) Date Approved. Do not enter the date the approving official signs the directive. The Directive Manager completes this field after the approving official signs the directive.

23 - Exhibit 03--Continued

Draft Interim Directive

(8) Posting Instructions. Do not revise the wording displayed on the transmittal page. Do not fill in the last interim directive number. The Directive Manager completes this field.

(9) New Document. Enter the name of the new document in the second column and the number of pages in the document in the third column as follows:

New Document	id_2720-2001-2	3 Pages
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(10) Superseded Document(s) (Interim Directive Number and Effective Date).

(a) List any superseded interim directives (including interim directives, that are reissued without change), unless the superseded ID has expired. Enter the interim directive number and the effective date within parentheses in the second column and the number of pages of each document in the third column as follows:

Superseded Document(s) (Interim Directive Number and Effective Date)	id_2720-2001-1 (id_2720-2001-1, 09/05/2001)	6 Pages
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(b) If there are no superseded documents, enter the word "None" in the second column and remove the word "Pages" in the third column as follows:

Superseded Document(s) (Interim Directive Number and Effective Date)	None	
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(11) Digest:

(a) List changes in sequence by each affected section code.

(b) Summarize the change being made; use active voice, present tense; for example:

2496.1 - Adds a new annual report requirement for salvage sales.

(c) Continue on a second page if necessary.

23 - Exhibit 03--Continued

Draft Interim Directive

c. **THIRD:** Public Notice and Comment Determination. For substantive Manual ID's, create a letter to the file documenting the determination of need for public notice and comment. Refer to FSM 1013 and 36 CFR part 216 for guidance. Create this letter as a document separate from your ID package so that it can be properly signed.

(1) Create a document in the Correspondence Database as an informal letter. In the *User Aids* section of the Directives Home Page of the FSWeb/Intranet, see examples of letters under the section *Sample Public Notice and Comment Documents*, and draft the letter stating the reasons why notice and comment is or is not required.

(2) Prepare the letter for the Staff Director's signature. Each letter must be signed in ink and sent to the Directive Manager, Information Resources Management Staff in paper form. If you plan to submit the draft ID electronically, the letter with an electronic signature may be submitted at the draft ID stage, but the signed original is required when the final ID is submitted.

Note: Retain a file copy in your staff files, as the original is part of the permanent record filed with the final directive.

d. **FOURTH:** Text of directive. Use "Save As" to file the appropriate FSM or FSH amendment document in your STAFF or UNIT space as a MSWord Document. (Do not create the directive document in your personal file space, which would not provide the necessary permissions if, in your absence, others may need access to the document.)

(1) Include the table of contents as part of the ID document only if new codes are established. (The table of contents follows the transmittal page.)

(2) Include only new and revised text pages in the draft ID (not the text of an entire chapter). Prepare a separate ID for each affected FSM and FSH chapter.

(3) Provide a marked-up copy of any existing parent amendment text and/or previous ID affected by the new draft ID, showing where material has been added, removed, or revised. Preferably, this copy should be marked by hand; however, changes also may be indicated by bold face for new material and brackets for deleted material.

23 - Exhibit 03--Continued

Draft Interim Directive

e. **FIFTH AND LAST:** Sign block 5b (signature of directive author) of Form FS-1100-2a either electronically or in ink. Transmit the completed package electronically to *wo_Directives@fs.fed.us* (to *wo Directives* for internal Forest Service mail) or send a paper copy to the Information Resources Management Staff, to the attention of the Directives and Regulations (D&R) Branch, Production and Distribution Unit, Mail Stop 1134, Room 800 RPE. If the directive is submitted electronically, be sure to include a message that the electronic directive package is being submitted for review, and a paper copy will not follow.

If you send a paper copy, the text of the interim directive must be double-spaced, but do not double-space the Form FS-1100-2a.

* * * * *

Note: Upon receipt, the Information Resources Management Staff, Directives and Regulations Branch, will check the submission. If any of the required documents are incomplete or missing, the Branch will return the package to the author for correction.

If the submission is correctly prepared, the draft interim directive is assigned to an analyst to review, mark for revisions and queries, and return to the author to finalize and clear.

23 - Exhibit 04

Final Interim Directive

Preparation, Clearance, and Approval of a Final Interim Directive in the Washington Office

NOTE: Refer to the direction in FSM 1100-1120 and FSH 1109.12, Directive System Handbook, chapters 10-30, in finalizing your directive.

1. Make the changes indicated. After the Directives and Regulations Branch, and other Information Resources Management Staff personnel have reviewed and returned the draft interim directive (ID) to you, make the changes indicated.

a. Retain the original paper copy of the Form FS-1100-2a with the Directive Analyst's initials. Do not create a new form unless you have been advised to do so by the directive analyst. If you need to create a new form, attach the previous one behind it. The original form is part of the permanent record of this directive.

b. Also retain the marked-up draft and any additional comments made by the analyst. They must be returned with the ID.

2. Prepare and print the ID in final form, single-spaced. Staffs (not the Information Resources Management Staff) are responsible for preparing the final ID for line officer signature. Prepare a separate ID for each affected FSM and FSH chapter. Include only the new and revised text in the ID. Generate a table of contents if the ID establishes new codes.

3. Complete coordination. Formally coordinate review of the revised directive with any other affected staffs, obtaining names, initials, and dates in block 10 of Form FS-1100-2a. Make any changes necessary based on review by other Staffs. If changes are substantive, contact the Information Resources Management Staff, Directives and Regulations Branch to determine if a second draft ID should be submitted for review.

4. Assemble the final package. Make sure that the digest is still accurate and include the table of contents only if new codes are established. The package should include paper copies of the following in the order shown:

a. Form FS-1100-2a, Interim Directive Processing Request.

b. For a substantive Manual ID only, the signed paper copy of the letter to the record (prepared at draft ID stage) indicating the reasons why the FSM ID does or does not require a Federal Register notice and opportunity for public comment. (This letter was prepared at the draft stage. If you submitted an electronically signed version at the draft stage, you must now attach the signed original letter to the Form FS-1100-2a. This letter and the form are part of the permanent record for the ID.)

23 - Exhibit 04--Continued

Final Interim Directive

- c. The transmittal page, table of contents if applicable, and text of the final ID.
- d. Marked-up draft and the Directive Analyst's comments on the draft. (Place these at the end of the package.)

5. Obtain Staff Director's signature. Have the Staff Director (or acting) sign and date block 11 of Form FS-1100-2a. This must be an ORIGINAL signature on the paper copy, not an electronic signature.

6. Submit the ID to your line officer for signature. Be sure to put a signature tag at block 12 of Form FS-1100-2a for the line officer (Deputy Chief, Associate Deputy Chief, or acting) to sign and date. The line officer returns the clearance package with the signed ID to the Information Resources Management Staff, Directives and Regulations Branch.

7. Submit the final ID electronically. Submit the text of the final ID as a Word Document (.doc) electronically to *wo_directives@fs.fed.us* (to *wo Directives* for internal Forest Service mail). Make clear in the electronic message that this is a final ID and that the paper copy has been sent to the line officer for signature. Instead of mailing the electronic document, you also may submit a diskette.

8. Special effective date. Normally, the effective date of an ID is 15 working days after the day the line officer signs the ID (FSM 1113.4). If there are special circumstances calling for an earlier or later effective date (for example, to correspond with the date of publication of a Federal Register notice):

- a. Consult with the Directive Analyst to establish the special effective date,
- b. Attach a note with the paper copy ID specifying the date, and
- c. Include a message about the special date when submitting the ID electronically to *wo_directives@fs.fed.us* (to *wo Directives* for internal Forest Service mail).

* * * * *

Note: Upon receipt, the Information Resources Management Staff, Directives and Regulations Branch, will check your submission.

1. If any of the required documents are incomplete or missing, the Branch will contract you and, if necessary, will return the package for correction.

23 - Exhibit 04--Continued

Final Interim Directive

2. If the submission is correctly prepared, the final ID may be assigned to an analyst for review, if there were substantial changes or queries concerning the draft ID.

3. Following any review, the Production and Distribution Unit completes the final formatting and numbering of the ID; posts the signed ID electronically on the Service-wide Directives Home Pages on the World Wide Web (www)/Internet and the Forest Service Web (FSWeb)/Intranet; posts the paper copy in the directive master set; and completes any other paper and electronic distribution needed for this ID.

23 - Exhibit 05

Analyst Checklist for a Draft FSM or FSH Directive

Analyst Directive Checklist: Draft FSM or FSH Directive

(60 - 90 days)

	Action	Done	Notes
1.	Check deadlines for completion of analysis.		
2.	Scan for new or modified information requirements (systems, forms, and reports.) a. Consult FSH 1309.14. b. Refer immediately to the Information Resources Management Staff (IRM) Forms and Reports Manager or Planning, Policy, and Standards Branch if there are new or modified information requirements. c. Note date referred on tracking card.		
3.	Determination regarding public notice and comment requirements (36 CFR part 216; FSM 1013). Coordinate with the Federal Register Officer, IRM, Directives and Regulations Branch (D&R) for substantive FSM amendments and interim directives (ID's).		
4.	For new FSH or major FSM revision: a. Has staff previously submitted outline? b. Prepare a call letter for distribution of a new FSH.		
5.	Check the current FSM/FSH master. a. Compare the draft to existing text. b. Identify changes in codes and captions. c. Determine if code or caption changes impact records management (see step 7).		

23 - Exhibit 05--Continued

Analyst Checklist for a Draft FSM or FSH Directive

	Action	Done	Notes
6.	<p>Analyze document.</p> <ul style="list-style-type: none"> a. Apply Principles and Guidelines for Development and Reviewing Manual and Handbook text. (FSM 1111.1; 1112.1). b. Check Zero Code content (FSH 1109.12, ch.10). c. Check organization and flow of ideas. d. Look for too much or too little coding. e. Spot check cross-references to FSM/FSH (authors are responsible for the accuracy of cross-references). f. Check for word choice and sentence structure. g. Check for the adequacy of direction, and too much or too little streamlining. h. Check the accuracy of statements regarding: NEPA, appeals, Forest planning, and so on. i. Ensure the direction is appropriate to FSM or FSH. j. Check exhibits: <ul style="list-style-type: none"> (1) Ensure there are no blank forms. (2) Ensure that direction in exhibits, if any, is cited in cross-references in the directive text. (3) Ensure that exhibits are correctly coded. 		
7.	<p>If there is a filing or records impact, refer the directive package (or provide a copy) to the Records Manager for review and initials, on the Form FS-1100-2 (amendments and supplements) or FS-1100-2a (interim directives), and note the date sent on the tracking sheet. Also check for Freedom of Information Act and Privacy Act systems of records impacts (FSM 6230 and 6270; FSH 6209.11 and 6209.13) and coordinate with the FOIA/PA Officer as appropriate.</p>		
8.	<p>Prepare the draft package to return to the author.</p> <ul style="list-style-type: none"> a. Include any written comments. b. Enclose instructions on preparing external distribution lists (new FSH only). c. Give instructions on preparing the final directive. d. Ask that the analyst's comments be returned with final. 		
9.	<p>Note the date returned to the author on the tracking sheet.</p>		

23 - Exhibit 06

Analyst Checklist for a Final FSM or FSH Directive

Analyst Directive Checklist: Final FSM or FSH Directive

(30-45 Days)

	Action	Done	Notes
1.	Check deadline for completion of analysis.		
2.	Ensure the analyst's markup of the draft directive is attached to Form FS-1100-2 or FS-1100-2a and final directive.		
3.	Check for necessary clearances on Form FS-1100-2 or FS-1100-2a and coordination with affected staffs.		
4.	If there are major systems, forms, reports, Freedom of Information Act (FOIA), or Privacy Act (PA) impacts, coordinate with the appropriate officers and managers to ensure the timing of directive issuance is compatible with the other programs, such as forms and reports issuance, approval of information requirements, and so on.		
5.	<p>Analyze the document.</p> <ul style="list-style-type: none"> a. Compare the final directive with the draft for changes. b. Check for compliance with the Principles and Guidelines for Developing and Reviewing Manual and Handbook Text (FSM 1111.1; 1112.1). c. Check the organization and flow of ideas. d. Spot check cross-references and citations (authors are responsible for the accuracy of cross-references). e. Check for word choice, sentence structure. f. Check for the adequacy of direction. g. Check exhibits for accurate coding, format, cross-references in the text, completion of sample forms (no blank forms), and placement. h. Check codes and captions: <ul style="list-style-type: none"> (1) Codes and captions match table(s) of contents, and indentions in the table of contents are correct for the styles and levels of captions. (2) Coding is correct (FSH 1109.12, ch. 10). i. Mark inserts and revisions clearly. 		

23 - Exhibit 06--Continued

Analyst Checklist for a Final FSM or FSH Directive

	Action	Done	Notes
6.	<p>Check the completeness of the directive package.</p> <ul style="list-style-type: none">a. All pages in the directive are correct and complete.b. Digest is correct, concise, complete, and keyed to coded sections.c. Necessary table(s) of contents are included.d. Electronic version has been received.		
7.	<p>Coordinate effective date with author.</p> <ul style="list-style-type: none">a. Any need for special handling?b. Coordinate with Federal Register publication, if applicable.		
8.	<p>Submit to Directive Manager with recommendation for approval.</p> <ul style="list-style-type: none">a. Amendments and Supplements. Prepare any informal note regarding the directive that the Directive Manager needs to send to the line officer; and forward directive for final issuance.b. Interim Directives. If appropriate, coordinate with the Directive Manager before sending the ID package and tracking sheet to the Production and Distribution Unit. Attach tracking sheet to the final directive.		

23.04 - Responsibility

23.04a - Authors and Concurring Officers

Directive authors must sign the Form FS-1100-2, Directive Amendment or Supplement Processing Request, or Form FS-1100-2a, Interim Directive Processing Request, when the draft directive is submitted for clearance. In signing, the author is attesting that the manuscript is the author's work (or responsibility) and that the package is as complete as the author can make it. If a team or task force develops the directive, one individual must sign the Form FS-1100-2 or FS-1100-2a and provide a central point of contact for reviewers of the document.

Appropriate representatives of other affected staffs must initial the Form FS-1100-2, Directive Amendment or Supplement Processing Request, or Form FS-1100-2a, Interim Directive Processing Request, at the final directive stage, signifying that the staff concurs in or has no objection to the directive. Remember that the USDA, Office of General Counsel may need to review a directive for legal sufficiency and adequacy.

23.04b - Staff Director or Officer

In signing a directive processing request at the final directive stage, a Staff Director must certify that any public notice and comment requirements of Title 36, Code of Federal Regulations, Part 216 (36 CFR part 216; FSM 1013.4, 1660) have been fulfilled or are not applicable and that the regulatory review requirements of Executive Order 12291 and Departmental Regulation (DR) 1512-1 have been considered. The Director must ensure that appropriate documentation of the 36 CFR part 216 determinations is attached to Form FS-1100-2 or Form FS-1100-2a.

23.04c - Directive Manager

1. Amendments and Supplements. The Directive Manager has the responsibility to ensure that the draft and final stages of the directive are reviewed and that initials of reviewers are obtained on Form FS-1100-2, Directive Amendment or Supplement Processing Request, for the following:

- a. Compliance with directive policy and standards set forth in FSM 1100 and this Handbook.
- b. Sufficiency of coordination and clearances. The Directive Manager may add other Staffs that should review the directive at the final stage.
- c. Requirements regarding notice and comment (36 CFR part 216); NEPA procedures; union; information requirements; forms and reports; filing system and records management impacts; and agency Mission, Vision, and Guiding principles (sec. 23.3).

If a final directive does not meet Directive System policy or standards, the package is returned to the originating office for revision and correction as indicated. In such cases, the revised package does not need to be re-cleared with other impacted Staffs, unless substantive changes affecting those staffs are subsequently made.

When the final directive is ready for issuance, the Directive Manager signs the Form FS-1100-2 and forwards the package to the appropriate line officer for final review and approval. The Directive Manager is responsible for noting any special approvals that may be required; for example, in the case of an amendment or supplement to FSM 1230, Delegations of General Authority, only the Chief, or a Regional Forester, Station Director, Area Director, or Institute Director, may approve the directive. If a final directive does not meet Directive System policy or standards and the sponsoring unit does not correct the deficiencies, the Directive Manager shall expressly note this on the Form FS-1100-2 before forwarding the directive to the line officer.

2. Interim Directives.

a. Service-wide Directive Manager. The responsibilities of the Service-wide Directive Manager for interim directives (ID's) are similar to those for amendments and supplements in the preceding paragraph 1, except that the Directive Manager does not sign the Form FS-1100-2a. After reviewing a draft ID, the Directive Manager returns it to the author, who is responsible for incorporating revisions into the final ID and transmitting the final ID to the line officer for signature (sec. 23.04d). When a draft ID requires extensive revision, the Directive Manager has the authority to require a second draft before the final ID is submitted to the line officer.

b. Field Directive Managers. Field units may establish procedures as needed for the responsibilities of field Directive Managers in directive clearance.

3. Union Clearance. After a directive has been signed by the line officer, the directive is then ready for issuance, and the Directive Manager is responsible for the issuance and posting of electronic and/or printed copies. If union clearance is required, the Directive Manager has the responsibility to forward the directive to the Labor Relations Specialist or responsible unit and does not issue the directive until notified that the union clearance process is completed.

23.04d - Line Officer

Upon receipt of an interim directive forwarded by the responsible staff or a directive cleared by the Directive Manager, the line officer has the responsibility to review the directive and denote approval by signing the Form FS-1100-2, Directive Amendment or Supplement Processing Request, or Form FS-1100-2a, Interim Directive Processing Request, certifying that the directive is consistent with the Forest Service Mission, Vision, and Guiding Principles and that any administrative requirements contained therein are justified (FSM 1020, DR 1140-2).

If a line officer objects to issuance of a directive, that officer returns the directive with questions or further instructions to the Staff directly or through the Directive Manager. Staffs must notify the Directive Manager of any directive returned by the line officer and keep the Directive Manager posted on its status.

23.1 - Unit Procedures for Directive Preparation, Clearance, and Approval

23.11 - Washington Office

See section 23, exhibits 01 through 04, for instructions on preparing, submitting, and clearing directives in the Washington Office; these instructions are also available at:

http://fsweb.wo.fs.fed.us/directives/html/user_aids.html

23.12 - Field Units

Field units may issue detailed instruction on directive preparation, submission, and clearance in supplements to section 23, exhibits 01-04, or to this section.

24 - Record Copy

(For related direction on responsibilities and procedures for record copies, see FSM 1104.4, 1130.41a, and 1130.43, and FSH 6209.11.)

1. A record copy of each directive issuance must be filed and retained as provided in FSH 6209.11, Records Management Handbook. This file is kept by title, year, and issuance number and contains a copy of the printed issuance, a copy of superseded text, the clearance form, and documentation of any applicable reviews, such as NEPA compliance and public notice and comment determinations, or written communication by the Directive Manager to the line officer regarding approval.

2. The Directive Manager at each unit is responsible for filing and maintaining record copies of the unit's issuances.

3. The record copy includes the documentation of notice and comment pursuant to 36 CFR Part 216 and a copy of the documentation of environmental analysis and National Environmental Policy Act (NEPA) compliance (decision memo or notice) as required by FSH 1909.15. The directive record copy documents that NEPA procedures were followed and may include a decision memo or notice, but should not contain NEPA documents themselves (such as the environmental analysis).

4. Documentation of union clearances is retained by the staff responsible for labor relations, but evidence of union clearance must be noted on the Form FS-1100-2, Directive Amendment or Supplement Processing Request, or Form FS-1100-2a, Interim Directive Processing Request.

5. To aid in research and retrieval, record copies retired to the Federal Records Center must be listed by FSM and FSH title and the amendment, supplement, or interim directive number (sec. 41.23).

6. Record copies transferred to the National Archives and Records Administration (sec. 41.24).