

**FISH AND WILDLIFE SERVICE
SERVICE DIRECTIVES**

3.1 What is the purpose of this chapter? This chapter describes how:

- A. To prepare new or revised Fish and Wildlife Service Manual (Service Manual) chapters for review and surname.
- B. To make minor revisions to a chapter by issuing an amendment.
- C. The Division of Policy and Directives Management (PDM) publishes the chapter after the Director approves it.

3.2 What are the authorities for this chapter?

- A. Federal Information Resources Management Regulations (41 CFR 201-45.105).
- B. 381 DM 1, Directives Management.

3.3 Who is responsible for directives?

A. The **Director** approves or declines to approve Service Manual chapters.

B. The **Regional Directors** and **Assistant Directors**:

(1) Review drafts of new Service Manual chapters and revised chapters when the revisions have Servicewide impacts, and

(2) Provide comments to the originating division/office.

C. **Division Chief or Office Manager.** The division or office that is responsible for the subject matter of a chapter is also responsible for developing the chapter and revising it when necessary. The division or office also makes the initial determination about which other divisions or offices should review and concur on the final chapter. The division or office should:

(1) Consult with PDM before developing, revising, or amending a chapter,

(2) Consult with other divisions or offices affected by the policy,

(3) Write, revise, or amend the chapter, and

(4) Seek Directorate comments on new chapters and revised chapters that have Servicewide impacts.

D. **Chief, Division of Policy and Directives Management (PDM):**

(1) Reviews chapters for format and clarity.

(2) Works with the originating division or office to resolve issues and clarify language.

(3) Edits for plain language.

(4) Determines if other divisions or offices in the Service are affected and notifies the originating office about the need for additional concurrence.

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- (5) Reviews chapters to ensure they are consistent with other Service and Departmental policies.
- (6) Retains the latest electronic copy of the chapters to ensure that the proper version gets signed and posted. If substantial revisions are required after the document leaves PDM, PDM will either make the changes or give the electronic file back to the program office so that it can make changes, whichever is the most efficient means.

3.4 How does an author prepare a draft? The division or office that is responsible for the subject matter should:

A. Consult with other affected divisions or offices and PDM before writing the chapter or revising an existing chapter.

B. Use the template and guidelines provided in 011 FW 2 to write or revise the chapter.

C. Contact PDM after you have written a draft. PDM will:

(1) Review and edit your draft chapter before others review it. This review ensures it follows the standards described in 011 FW 2.

(2) Send edits and comments back to you. Incorporating these will strengthen your document.

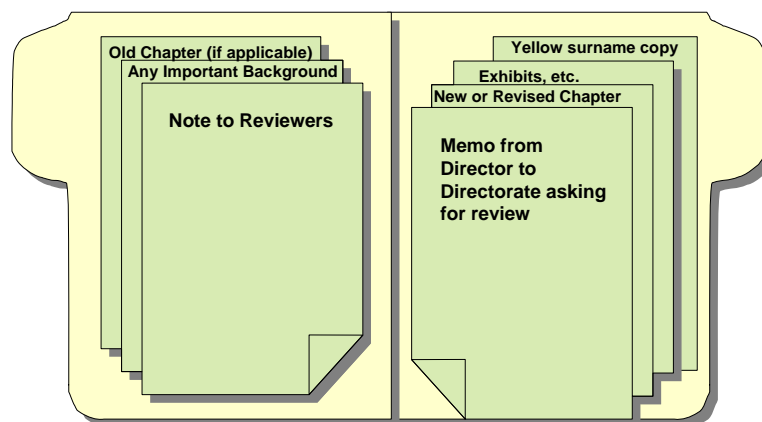
(3) Not change policy.

3.5 How does the division/office seek review and concurrence on draft chapters?

A. New Chapters and Revisions that have Servicewide Impact:

(1) After the division/office receives PDM's edits and comments on the draft, it prepares a surname package (see Figure 3-1) with a memorandum from the Director to the Directorate asking for its review of the chapter.

Figure 3-1: Surname Package Requesting Directorate Review



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(2) The memorandum should include (see Exhibit 1 for templates):

(a) A deadline by which the Directorate must provide comments (allow at least 30 days).

(b) A brief summary of the policy or a description of how you revised the chapter, and

(c) Contact information.

(3) Incorporate Directorate comment, as appropriate. Make notes about how you incorporate comments and give rationale when you do not incorporate a comment. You may:

(a) Summarize all the comments you receive and how you incorporated them in a table (see Exhibit 2 for a sample), or

(b) Include the comments and your hand written notations about how you addressed them in the surname package.

(4) Prepare a final surname package (see sections 3.5B and 3.6 below) for the Director's review.

B. Final Chapters after Directorate Comment Incorporated (or when Directorate comment is not necessary): The division/office must:

(1) Identify who should review the chapter and enter the information on a Clearance Record (Form DI-228). (See section 3.7 or contact PDM for more information to help you decide who should review the chapter.)

(a) When you include a Division Chief on the Clearance Record, include the Chief's Assistant Director, who must review the package after the Division Chief.

(b) The last three reviewing officials to enter on the Clearance Record always are:

(i) Chief, PDM. PDM will review the chapter again, check for inconsistencies or gaps in information, determine if any other divisions or offices need to review the document, and put the document in final format.

(ii) Assistant Director – Budget, Planning and Human Capital (AD – BPHC). The AD – BPHC is the final reviewer before the chapter goes to the Director's office.

(iii) Director. The Director has final signature authority.

(2) Assemble the final surname package (see section 3.6 for more information about how to assemble the package).

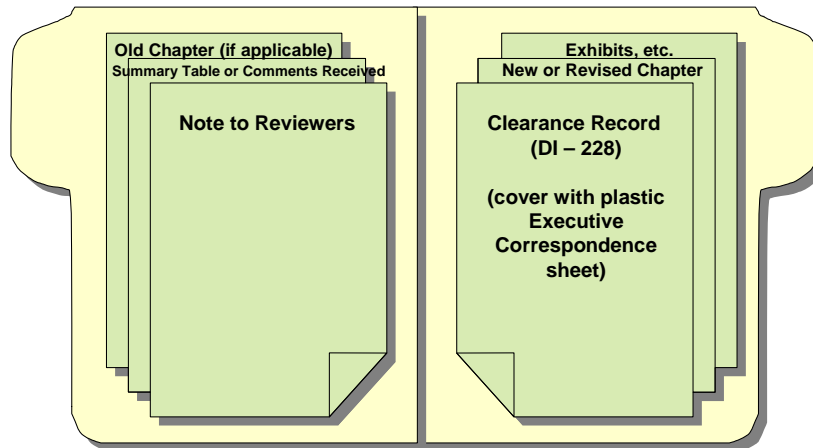
(3) Enter the package into the Service's Data Tracking System.

(4) Send the package to the first reviewing official on the Clearance Record. When the first reviewing official has read and surnamed the package, the official will send it to the next person on the list for review. If there are questions or the official would like you to revise something, he/she will contact you.

3.6 How does the author assemble a final package for review and concurrence? After you incorporate Directorate comments, you prepare a final surname package to obtain the Director's approval of the chapter. Place all documents in a folder, which must contain (also see Figure 3-2 below):

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Figure 3-2: A Final Surname Package



A. On the front of the folder: A routing slip generated from our Data Tracking System. Your office's administrative support staff can help you enter your package into the tracking system and generate the routing slip.

B. On left, inside the folder:

(1) A "Note to Reviewers" This note explains why you wrote the chapter or points out any other information you would like reviewers to know. (See Exhibit 3 for an example.)

(2) A summary table of the comments you received or copies of the comments with notations about how you addressed them (see section 3.5A(3) and Exhibit 2).

(3) For revisions, a copy of the old chapter.

(4) Any other pertinent reference material.

C. On the right, inside the folder:

(1) The Clearance Record (Form DI-228). This is the document where you indicate the chain of officials who need to review the chapter. The reviewing officials sign their names on the Clearance Record to show they concur. On the top of the Clearance Record, there is a space for you to explain why you developed the chapter or what revisions you have made if it is an existing chapter.

(2) A copy of the chapter and any exhibits. PDM will put headers, footers, and a signature line at the end of the chapter before sending it to the Director.

3.7 Are there specific requirements for who should review the final draft chapter? Yes.

A. For some chapters, you must ask for public comment by publishing a notice of availability of the draft in the

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Federal Register. PDM can assist you. If the chapter meets one of the following four criteria, you should seek public comment:

- (1) Has clear and substantial impact on important public policies or private sector decisions.
- (2) Raises highly controversial issues related to interagency concerns or important Administration priorities.
- (3) Establishes initial interpretations of statutory or regulatory requirements.
- (4) Is about innovative or complex scientific or technical issues.

B. You should ask Washington Office Directorate members whose programs are impacted to review and concur on the final draft chapter. Put their titles on the Clearance Record before listing PDM, the AD – ABHC, and the Director.

3.8 What happens if a reviewing official does not concur with the chapter and requests changes? A reviewing official should never hold a chapter because of disagreement. If the reviewing official takes exception to a chapter, then:

A. The reviewing official should contact the originating office to discuss and resolve the issue. If possible, the reviewing official should provide suggestions for ways to change the document to make it acceptable.

B. If you cannot resolve the issue, then the originating office should contact PDM. PDM will take one of the following actions:

- (1) Act as an intermediary to try to find a way to resolve the issue.
- (2) Refer the matter to the Deputy Director for resolution.

3.9 What if the author needs to make substantial changes to the document after reviewing officials have already surnamed it, but before the Director approves it? When you make substantial changes to a chapter after it has been through all or part of the surname process, you should ask offices or divisions substantially affected to re-surname the chapter. If PDM has already surnamed the document, PDM will retain control of the document and assist you in coordinating the re-surnaming process.

3.10 Does the author need to put the entire chapter through the surname process if he/she only wants to make a small change or correction to an existing chapter? No. If you have a minor change, you can amend the chapter. We consider minor changes to be such things as modifying a few sentences, correcting typographical errors, or changing titles to reflect changes in the organization.

A. To amend the chapter, you:

- (1) Prepare an amendment to the chapter. The amendment must include a brief description of its purpose and a clear explanation of what you are changing or adding. See 011 FW 2 for more information and an example (011 FW 2, Exhibit 4) of how to write and format an amendment.
- (2) Prepare a surname package as described in section 3.6 above. Use a redline/strikeout version to show the changes to the existing chapter and include a copy on the left side of the folder.
- (3) After the surname process is complete and the Director has signed the amendment, PDM will publish it.

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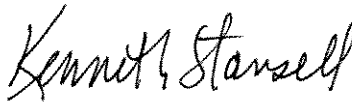
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011 FW 3

B. In most cases, we may only amend a chapter once. If a chapter already has one amendment and it needs to be revised again, you should put the entire, revised chapter through the surname process. Amending a chapter more than once is confusing to the reader.

3.11 Who publishes the chapter after the Director approves it? PDM publishes the chapter. PDM will notify the originating office when they publish the chapter and will retain the original documents with signatures. PDM posts all chapters on the Internet as soon as possible after the Director signs them.



Acting DIRECTOR

Date:

JUL 07 2008