

PART 2030 - COMMUNICATIONS

Subpart C - Written Communications--National Office

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PART 2030 - COMMUNICATIONS

SUBPART C - Written Communications--National Office

§ 2030.101 Purpose.

National Office employees will be guided by this subpart and its exhibits in conducting official business by correspondence.

§ 2030.102 Authorities and responsibilities.

The U.S. Department of Agriculture (USDA) subscribes to the standards in the U.S. Government Correspondence Manual (USGCM). The Departmental Regulation (DR) 3060-1, "USDA Correspondence Management Regulation," is to be used as a basic guide in preparing USDA correspondence. It can be found at <http://www.ocio.usda.gov/directives/files/dr/DR3060-001.pdf>. Rural Development also established certain requirements to meet internal needs as reflected in this subpart.

§ 2030.103 Routing, signature authority, and clearing correspondence.

(a) Routing.

- (1) All outgoing correspondence which is beyond the authority of the Division/Staff Director to sign will be routed to the applicable Assistant Deputy Administrator, the Deputy Administrator, the Associate Administrator, and the Administrator.
- (2) Officials will use judgment in routing correspondence of an unusual nature to the Administrator or Associate Administrator.
- (3) Electronic mail (EM) requires the same signature as regular mail.

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Administrative Services  
Communications

(4) The name and title of the signing official will be typed on all letters/memoranda prepared. When an official other than the signing official signs a letter, the word "for" will be written before the typed name of the signing official. (See example below.)

for John G. Doe  
Director  
Support Services Division

(b) Signature authority. Correspondence will be signed by National Office officials who have delegated signature authority.

(c) Clearance. Outgoing letters will be cleared by officials primarily concerned with the subject matter. Letters recommending changes or establishing policy will be cleared through the Assistants or Assistant Deputies and Deputy Administrators. All congressional correspondence must be cleared through the Legislative and Public Affairs Staff (LAPAS). The Regulations and Paperwork Management Branch (RPMB), Support Services Division (SSD), and LAPAS (if necessary) will review the letter after staff office clearances, but before the Office of the General Counsel (OGC) clearance (if necessary) and signature by the Administrator or other official with delegated authority.

(1) Only those offices having a substantial interest in the subject of the correspondence shall be requested to concur.

(2) It is sufficient to send informational copies of the completed correspondence to those officials concerned with the subject matter.

(3) Use Form RD 2006-6, "Clearance and Routing of Rural Development Issuance," for routing letters addressed to all State Directors, National Office officials, all Rural Development employees, all National Office employees, or all field office employees. See Exhibit B of this subpart for preparation and processing of unnumbered letters.

(4) Use Form RD 2006-6 for correspondence requiring clearance or signature by another office.

(5) Stamp or type "Official Agency File Copy" on the bottom of the last page of the Agency's official record copy for all correspondence prepared in the Agency. The originating office will place the concurrence stamp on the bottom of the last page of the official Agency file copy and insert the designated file code from RD Instruction 2033-C, Exhibit A. Concurring officials will write

§ 2030.103(c) (5) (Con.)

in their Unit, then initial and date on this copy. The Division/Staff Director will initial and date Form RD 2006-6 and send to the next clearance official.

| Unit | Initial & Date | Unit | Initial & Date |
|------|----------------|------|----------------|
|      |                |      |                |
|      |                |      |                |
|      |                |      |                |

§ 2030.104 Correspondence controlled by Rural Development.

All congressional letters addressed to officials within Rural Development and any congressional letters initiated by Rural Development should be sent to the Office of the Executive Secretariat (OES) for assignment of a control number and logging into the Document Management System (DMS).

§ 2030.105 Correspondence controlled by the Department.

(a) The OES assigns a control number for correspondence such as White House (Presidential) mail, congressional mail, and special public mail (public mail defined as mail from governors and other State and local government officials; officials of major businesses, trade and farm organizations; unions; and other private citizens). These letters are usually prepared for the signature of a departmental official.

(b) The OES assigns a priority control number to congressional letters and certain letters from the general public. These letters are signed by the Secretary, Under Secretary, or the Administrator.

§ 2030.106 Types of communication.

(a) Letters.

(1) Informal. The informal letter format ("To:" and "Subject:" format) will be used for most day-to-day correspondence in the transaction of daily routine business within the Department and with other Federal agencies. The informal format will not be used for correspondence outlined in paragraph (2) of this section.

(See Exhibit D of this Instruction and USGCM Part I, Chapter 1.)

(2) Formal. The formal letter format contains an inside mailing address, salutation, and complimentary close, and will be used when the addressee would expect to receive a more personalized letter. This format will be used when writing to the general public, mayors, governors, foreign officials, independent agencies, heads of departments, Government Accountability Office (GAO), and Members of Congress. (See Exhibit A of this Instruction and USGCM Part I, Chapter 1.)

(b) Facsimile transmission. All correspondence sent by facsimile transmission requires the same clearance procedures and signature authority as hard copy correspondence. All information to be transmitted by facsimile should be accompanied by a cover sheet.

(1) When faxing information that contains the name of a borrower or other sensitive information, the recipient of the facsimile should be notified when the fax is being sent and asked to stand by for receipt. This will minimize the risk of nonessential disclosure of sensitive information.

(2) Facsimile machine usage is restricted to "Official Government Business." The use of facsimile equipment for personal use is strictly prohibited.

(c) Electronic mail (EM). EM is a service that provides for the electronic transfer of information data, correspondence, and messages between individuals and/or organizations.

(1) Formal correspondence statements of policy, and the implementation or changes of directives or instructions that are transmitted by EM require the same clearance procedures and signature authority as hard copy correspondence (Refer to § 2030.103). No Agency official is authorized to sign and send, by EM, any formal correspondence which either exceeds the authority of the signer or would be in conflict with any existing Agency policy or procedure.

## § 2030.106(c) (Con.)

(2) EM may be used by Rural Development employees for the informal exchange of business-related information that might otherwise occur via telephone or note.

(3) EM is restricted to "Official Government Business."

§ 2030.107 Informal methods and forms for expediting correspondence.

(a) Transmittal letters. A letter of transmittal need not be written unless it adds to that which is being transmitted. Appropriate mailing notations such as the date and to whom the material was sent may be made on the file copy(ies) of the material which was transmitted. In some cases, Optional Form 41, "Routing and Transmittal Slip," may be used instead of a transmittal letter.

(b) Form RD 2006-6, "Clearance and Routing of Rural Development Issuance." This form must be used for Unnumbered Letters and Administrative Notices requiring clearance from the RPMB, SSD, and the Administrator and for correspondence requiring clearance or signature by another office. This form should be stapled to the "Official Agency File Copy" prior to sending the document to the Central File Unit.

§ 2030.108 Statement of Action (SOA) on Government Accountability Office (GAO) reports.

A Statement of Action (SOA) is USDA's report of corrective action(s) taken or planned on the recommendation(s) contained in a Government Accountability Office (GAO) final report. Public Law 97-258, Section 720, states that an SOA must be submitted to Congress within 60 days from the date of issuance of a GAO final report.

(a) The Secretary of USDA requested that the Office of Inspector General (OIG) provide liaison, coordination, and cooperation for USDA SOAs. The Food and Marketing Division of the Office of the Assistant Inspector General for Audit is USDA's designated GAO Liaison Manager.

(b) The Financial Management Division (FMD) is Rural Development's designated GAO Liaison Office, with an FMD Program Analyst assigned to GAO audits designated as Rural Development's GAO Liaison Officer.

RD Instruction 2030-C  
§ 2030.108 (Con.)

(c) The SOA is prepared by the designated lead USDA agency.  
(See Exhibit G of this subpart for instructions on preparing an SOA.)

(1) If Rural Development is the designated lead USDA agency, the Rural Development GAO Liaison Officer will forward the GAO final report to the appropriate Rural Development agency officials for preparation of the SOA and submission to FMD for further processing, clearance, and delivery to the GAO Liaison Manager.

(2) If Rural Development is not the designated lead USDA agency, FMD will coordinate and provide Rural Development's response (to be included in the SOA) to the designated lead USDA agency.

§ 2030.109 Preparation of envelopes and labels.

(a) The following format (see Exhibit H of this subpart) will be used in preparing envelopes:

- (1) Use all capital letters.
- (2) No punctuation.
- (3) Abbreviate street suffixes. (See Exhibit I of this subpart.)
- (4) Abbreviate states and territories. (See Exhibit J of this subpart.)
- (5) Use Zone Improvement Program (ZIP) code + 4, when available.

(b) All envelopes prepared in Rural Development must reflect this format. This format will reduce postal costs for all Government agencies.

§ 2030.110 Types of envelopes and mailing labels.

Provide envelopes large enough to adequately contain all enclosures. However, to keep postage costs at a minimum, use the smallest envelope necessary to accommodate the enclosure.

(a) Bulk mail envelopes. These envelopes are prepared by the Departmental Mail Unit, Room 0421, to transmit mail to each State Office. Therefore, individual envelopes will not be prepared for these offices except "FOR OFFICIAL USE ONLY" correspondence as prescribed in § 2030.112 of this subpart.



§ 2030.110 (Con.)

(b) Window envelopes. These envelopes will be used, when applicable, to eliminate one typing operation and the possibility of transcription errors. They also eliminate the time-consuming process of matching letters to envelopes.

(c) Envelopes without the Postage and Fees Paid Indicia (metered mail system). The National Office is using the metered mail system. The postage for all outgoing mail will be applied by the Departmental Mail Unit with the exception of Secretarial letters.

(d) Standard Form 65-B, "U.S. Government Messenger Envelope." Messenger envelopes must now be used for all mail addressed to Rural Development offices and other USDA agencies within the Department's Washington D.C. complex. To assure proper delivery, the addressee's name and STOP Code (See Exhibit C for STOP Code), must be shown on the messenger envelope.

(e) Certified mail services. When certified mail service is required, the sender is responsible for filling out the necessary forms. On Postal Service (PS) Form 3811, "Domestic Return Receipts," item 3 should contain the receiver's address, item 4 should contain the article number (which is the number on the PS Form 3800, "Certified Mail Receipt"), and the type of service requested as certified. Also, fill out the return address on the reverse side of PS Form 3811. The PS Form 3800 only needs the receiver's address to be completed. Paper clip or fasten both forms to the package and send to the Departmental Mail Unit for shipping.

(f) Non-standard mail. First Class Mail will be non-standard if any of the following size limitations are exceeded and the WEIGHT is one ounce or less:

- (1) Length exceeds 11 1/2 inches, or
- (2) Height exceeds 6 1/8 inches, or
- (3) Thickness exceeds 1/4 inch, or
- (4) The length divided by the height is less than 1.3 or more than 2.5.

Example: Placing one or two pieces of paper flat in a 9" x 12" envelope.

(5) A surcharge will be levied against First Class Mail weighing one ounce or less and not meeting the above-size limitations. In order to avoid the penalty surcharge, fold all material that permits folding and use the smallest size envelope necessary to accommodate the enclosure. This is especially applicable to travel vouchers being mailed to the National Finance Center, New Orleans, Louisiana.

§ 2030.111 Mail pick-up messenger service.

(a) National Office.

(1) All Rural Development mail must be processed through the Departmental Mail Unit. If, after the last messenger pick-up, you have mail that should be sent that day, it must be hand-carried to the Departmental Mail Unit, Meter Section by 4:30 p.m. The reason for this deadline is that the postage meter is shut down at 5:00 p.m., and daily readings of the meter are taken.

(2) Place all outgoing letters in the "OUT" box as early as possible each day. Each office is responsible for hand-carrying to the next office important "deadline"-type correspondence, including all correspondence assigned a control number by OES. Special messenger service is not available for this purpose. Scheduled drop off and pick-up times are: 9:30 a.m., 12:00 p.m. and 3:00 p.m.

(b) Departmental courier/messenger service. Scheduled courier/messenger mail pick-up trips (time for leaving Departmental Mail Unit) are: 10:00 a.m. and 2:00 p.m.

(c) Reporters Building. Scheduled drop-off and pick-up times are: 9:00 a.m., 12:00 p.m., and 3:00 p.m. **Do Not** address any United States Postal Service (USPS) mail to Rural Development staff located at the Reporters Building, 300 7<sup>th</sup> Street, SW, Washington, DC 20024. The following address should be used:

(NAME OF PERSON)  
(NAME OF DIVISION)  
RURAL DEVELOPMENT/USDA  
STOP CODE NUMBER  
WASHINGTON DC 20250-(STOP CODE NUMBER)

§ 2030.111 (Con.)

(d) School Street. **Do Not** address any USPS mail to Human Resources Training (HR), at 501 School Street SW., Washington, D.C. The following address should be used:

(NAME OF PERSON)  
HUMAN RESOURCES TRAINING DIVISION  
RURAL DEVELOPMENT/USDA  
STOP CODE 0732  
WASHINGTON DC 20250-0732

§ 2030.112 "FOR OFFICIAL USE ONLY" correspondence.

The term "FOR OFFICIAL USE ONLY" will be used in identifying non-defense classified material which requires limited access handling or restricted processing. No other term will be used.

(a) "FOR OFFICIAL USE ONLY" will be placed two lines above the subject of an informal letter, or two lines above the inside address of a formal letter, flush with the left margin.

(b) Material designated "FOR OFFICIAL USE ONLY" should be placed in a plain envelope and identified as such when sent by bulk mail. If the envelope is to be opened only by the one to whom it is addressed, "FOR OFFICIAL USE ONLY--TO BE OPENED BY ADDRESSEE ONLY" should be written or typed on the envelope.

§ 2030.113 Federal Express.

(a) All Rural Development employees are required to process shipment labels via the Federal Express internet site which can be found at [www.fedex.com](http://www.fedex.com) for their Federal Express letters and packages. Rural Development is now a registered member of the FedEx Ship Manager (Passkey) system.

(b) All Rural Development employees who process Federal Express shipments must have a user id and password to log on to the FedEx Passkey. To obtain a user id and password, you must contact the Passkey Administrator at 202-692-0027.

RD Instruction 2030-C  
§ 2030.113 (Con.)

(c) Hand carry Federal Express items to the fourth wing loading dock FedEx drop off box in the South building by 4:00 p.m. or the second floor FedEx drop off box in the Reporters Building by 2:00 p.m.

§ 2030.114 Personal correspondence.

This subpart does not restrict in any way the right of an employee to correspond with any person or public official with respect to matters of concern to the employee as a private citizen. All employees, however, are advised to acquaint themselves fully with the provisions of RD Instruction 2045-CC.

§§ 2030.115 - 2030.150 [Reserved]

Attachments: Exhibits A, B, C, D, E [Reserved], F [Reserved], G, H, I, and J.

oOo

FORMAL LETTER FORMAT

[ON LETTERHEAD]

3 ↓ lines  
December 1, 2003

14 ↓ lines down to show through window  
Honorable John G. Doe  
U.S. House of Representatives  
123 Russell House Office Building  
Washington, D.C. 20522

3 ↓ lines  
Dear Congressman Doe:

2 ↓ lines  
This exhibit illustrates the format for preparing formal letters throughout the United States Government. The formal letter should be used when protocol dictates, or when the addressee would expect or should receive a more formal or personalized letter.

The date may be typed or stamped approximately three lines below the letterhead.

Left and right margins are at least 1 inch and not more than 1 and ¼ inches. Each part of the letter is double-spaced from the previous text. The signing official's name and title are typed at least five lines below the complimentary close.

Start typing the signer's name flush with the left margin on the fifth line below the complimentary closing. Please refer to this exhibit for the complete signature block.

2 ↓ lines  
Sincerely,

5 ↓ lines  
JANE DOE  
Administrator  
Agency Name

2 ↓ lines  
Enclosure [DR-3060-1 14(q) (1)]

oOo

UNNUMBERED LETTERS

SUBJECT: Preparation and Processing

TO:

ATTENTION:

Unnumbered Letters are written communications in the memorandum format addressed to all State Directors, National Office officials, all Rural Development employees, all National Office employees, or all field office employees. Unnumbered Letters will be used to provide general information and not to establish, change, or modify authorized directives.

1. Requirements.

- a. Sufficient time must be allowed for the necessary clearances, final signature, date stamping, issuance, and timely arrival.
- b. Attachments must be indicated in the body of the letter and below the signature block.
- c. Provide Unnumbered Letters to the Regulations and Paperwork Management Branch (RPMB) on a disk so that they can be posted on the Internet. Notify RPMB if the Unnumbered Letter contains sensitive information and should not be posted on the Internet.
- d. Unnumbered Letters must be sent by electronic mail (except letters with attachments that are not on the computer) to field offices and National Office officials.

2. Preparation.

- a. An "ATTENTION" line should be placed below the "TO" line on all Unnumbered Letters requiring action or attention by the State Office employee(s) other than the State Director. Attention lines help State Office personnel to quickly route letters to the intended recipient(s).

EXPIRATION DATE:  
April 30, 2004

FILING INSTRUCTIONS:  
Administrative/Other  
Programs

- b. Place the "EXPIRATION DATE" at the bottom left corner of the first page. The expiration date is the responsibility of the writer.
  - c. Place "FILING INSTRUCTIONS" at the bottom right corner of the first page. The originator is responsible for designating one of the following three broad program areas as the filing instructions: Housing Programs, Community/Business Programs, and Administrative/Other Programs.
3. Clearance and Signature Authority.
- a. The originating office is responsible for obtaining the necessary clearances. Place Form RD 2006-6, "Clearance and Routing of Rural Development Issuance," on top of the original, fill in the applicable clearance officials on the form, and forward the document to the first clearance official. If the final is changed during clearance by a clearing official, the official agency file copy of the original containing the page change should be stapled to the corrected official agency file copy. The legend should be updated to reflect the name of the official requiring the revision.
  - b. RPMB will review the letter after staff office clearances, but before the Office of the General Counsel (OGC) clearance (if necessary) and signature by the Administrator or other official with delegated authority.
4. Distribution of Unnumbered Letters.
- a. After the Unnumbered Letter is signed, it will be returned to RPMB for a final check and given to the originating office to send electronically if appropriate. After electronic transmission, the originating office will return the Unnumbered Letter (both hard copy and disk) to RPMB.
  - b. Unnumbered Letters transmitted electronically will not be reproduced except for the required file copies.

c. Unnumbered Letters not transmitted electronically will be duplicated and distributed by RPMB.

d. When special attachments such as preprinted pamphlets, diskettes, etc., are prepared, RPMB will return the letter to the division/staff for assembly.

5. Filing.

After distribution, the original letter, with any extra copies will be returned to the originating office and retained for no longer than 1 year. Future requests for extra copies of an Unnumbered Letter should be referred to the originating office.

JAMES L. DOE  
Administrator

Attachments (if appropriate)

One of the following sentences is to be typed below the signature line of the letter to describe further handling. If the memo is one page, one of the following lines will be placed after the expiration date and filing instruction line.

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

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RURAL DEVELOPMENT STOP CODES

Stop Codes replace the use of room numbers on internal and external envelopes. The first 2 digits of the code identifies the Agency and the last 2 digits identifies the organizational unit within the Agency. The STOP codes also represent the ZIP + 4 digit code.

| OFFICE/DIVISION                                                        | STOP CODE |
|------------------------------------------------------------------------|-----------|
| <b>Operations and Management</b>                                       |           |
| Deputy Administrator for Operations and Management                     | 0720      |
| Civil Rights Staff                                                     | 0703      |
| Office of the Chief Financial Officer                                  |           |
| Office of the Deputy Chief Financial Officer                           | 0721      |
| Budget Division                                                        | 0722      |
| Financial Management Division                                          | 0707      |
| Policy and Analysis Division                                           | 0708      |
| Assistant Administrator for Procurement<br>and Administrative Services | 0740      |
| Procurement Management Division                                        | 0741      |
| Support Services Division                                              | 0742      |
| Central File Unit                                                      | 0747      |
| Office of the Chief Information Officer                                | 0750      |
| Management Control Staff                                               | 0751      |
| Customer Services Division                                             | 0753      |
| Management Services Division                                           | 0752      |
| Information Technology Division                                        | 0754      |
| Information Resource Management                                        | 0750      |
| Rural Utilities National Development Branch                            | 1534      |
| Assistant Administrator for Human Resources                            | 0730      |
| Mission Area Personnel Services Division                               | 0730      |
| Human Resources Training Division                                      | 0732      |
| Labor Relations Staff                                                  | 0733      |
| Headquarters Personnel Services Branch                                 | 0730      |
| Legislative and Public Affairs Staff                                   | 0705      |
| Alternative Dispute Resolution                                         | 0790      |
| Policy and Analysis Division                                           | 0786      |

**Office of Community Development**

|                                         |      |
|-----------------------------------------|------|
| Empowerment Program Division            | 3203 |
| Community Resource Development Division | 3203 |
| National Rural Development Partnership  | 3203 |

**Rural Business-Cooperative Service**

|                                               |      |
|-----------------------------------------------|------|
| Office of the Administrator                   | 3201 |
| Resource Coordination Staff                   | 3204 |
| Deputy Administrator for Business Programs    | 3220 |
| Special Projects/Programs Oversight Division  | 3221 |
| Business and Industry Division                | 3224 |
| Specialty Lenders Division                    | 3225 |
| Deputy Administrator for Cooperative Services | 3250 |
| Statistics                                    | 3256 |
| Cooperative Marketing Division                | 3252 |
| Cooperative Resources Management Division     | 3253 |
| Cooperative Development Division              | 3254 |

**Rural Housing Service**

|                                                    |      |
|----------------------------------------------------|------|
| Office of the Administrator                        | 0701 |
| Program Support Staff                              | 0761 |
| Deputy Administrator for Single Family Housing     | 0780 |
| Single Family Housing Direct Loan Division         | 0783 |
| Single Family Housing Guaranteed Loan Division     | 0784 |
| Deputy Administrator for Multi-Family Housing      | 0780 |
| Multi-Family Housing Processing Division           | 0781 |
| Multi-Family Housing Portfolio Management Division | 0782 |
| Deputy Administrator for Community Programs        | 0788 |
| Guaranteed Loan Division                           | 0787 |
| Direct Loan and Grant Processing Division          | 0787 |

**Rural Utilities Service**

|                                                                           |      |
|---------------------------------------------------------------------------|------|
| Office of the Administrator                                               | 1510 |
| Financial Services Staff                                                  | 1516 |
| Assistant Administrator for Program Accounting<br>and Regulatory Analysis | 1530 |
| Program Accounting Services Division                                      | 1523 |
| Program Development and Regulatory Analysis                               | 1522 |
| Assistant Administrator for Electric Program                              | 1560 |
| Northern Regional Division                                                | 1566 |
| Southern Regional Division                                                | 1567 |
| Power Supply Division                                                     | 1568 |
| Electric Staff Division                                                   | 1569 |
| Assistant Administrator for Telecommunications                            | 1590 |
| Eastern Area Telecommunications                                           | 1599 |
| Southwest Area Telecommunications                                         | 1597 |
| Northwest Area Telecommunications                                         | 1595 |
| Telecommunications Standards Division                                     | 1598 |
| Advanced Services Division                                                | 1550 |
| Program Advisor                                                           | 1541 |
| Assistant Administrator for Water and<br>Environmental Programs           | 1548 |
| Water Programs Division                                                   | 1570 |
| Engineering and Environmental Staff                                       | 1571 |

o0o

INFORMAL LETTER FORMAT

[ON LETTERHEAD]

2 ↓ lines down from letterhead  
↓  
May 1, 2003 (Added after signature)

3 ↓ lines down  
↓  
TO: Rural Development  
2 tabs Support Services Division  
STOP 0742  
Washington, D.C. 20250-0742

2 ↓ lines  
↓  
FROM: (Option \*\*)

2 ↓ lines  
↓  
SUBJECT:

3 ↓ lines to body of the informal letter  
↓  
This informal letter shall be prepared on letterhead. It illustrates the informal letter format used throughout the United States Government. This format will be used to prepare most day-to-day letters in the transaction of routine business within the Department and with other Federal agencies.

Begin the body of the informal letter three lines below the last line of the subject. Single space lines in the paragraph and double space between paragraphs. Short letters of 10 lines or less, double space between lines and triple space between paragraphs.

The name of the signer will be typed on the fifth line below the last line of an informal letter, flush with the margin. If more than one line is needed for the signer's title, begin succeeding line indented two spaces. The entire signature element should not run over four lines. \*\*When using FROM: There is no signature block at the bottom of the informal letter.

5 ↓ lines  
↓  
Jane Doe  
Director  
Agency name

2 ↓ lines  
↓  
cc: T. Randall (May be typed on original  
M. Monroe if so determined by writer)

(USGCM part 1 Chapter 1 figures 5&6)  
2 ↓ lines  
↓  
Attachments

oOo

**INSTRUCTIONS FOR PREPARING AND PROCESSING  
STATEMENTS OF ACTION ON  
GOVERNMENT ACCOUNTABILITY OFFICE REPORTS**

**FORMAT**

Attachment 1 of this exhibit is an example of an original and **salmon** copy Statement of Action (SOA).

**Preparation**

Prepare the SOA on 8 1/2 x 11-inch plain white bond paper. Also prepare a **salmon** copy for use in obtaining Department of Agriculture (USDA) clearances (to be attached to the OES signature sheet). Use 12-point Times New Roman type with 1-inch margins on all sides. Style preferences are provided later in these instructions (this exhibit).

**Heading**

Title the SOA using the full Government Accountability Office (GAO) report title and report number as shown on the cover of the final report.

**Preparation Date**

Insert the date of preparation (or the date the SOA was last revised during clearance) immediately following the heading title.

**Introductory Paragraph**

Using the "**Highlights**" section located on the first page of the GAO report, paraphrase GAO's findings and synopsis of the recommendations cited (further details are described on Attachment 1 of this exhibit).

**General Comments**

Include comments of a general nature, if applicable, that are not specifically relevant to the recommendations. If no general comments are given, omit the "General Comments" section in the SOA.

**GAO Recommendation and  
USDA Response**

Cite each GAO recommendation and follow with the USDA response; continue this pattern for each recommendation. Describe actions that have been completed or planned, along with the estimated dates of completion. Also include any reasons for disagreement with the recommendations.

**Note:** An SOA should "speak in one voice" on behalf of USDA. Any agency disagreements concerning responses to recommendations should be reconciled prior to writing the Departmental response.

**Number of Copies**

Using the original, make three photocopies. The copies must be clear, legible, and free from any marks or handwritten corrections. Additional photocopies will be made once the document is delivered to the Office of Inspector General (OIG).

**Agency Identification on  
Clearance Copy (Salmon)**

On the last page of the **salmon** copy, type the name of the preparing agency/office, the writer's name and telephone number, the typist's initials, and the date. This information must not appear on the original or the photocopies.

**Correspondence Control  
Cover Preparation**

Prepare a Correspondence Control Cover to route the SOA through clearance. An Office of Executive Secretariat (OES) control number (obtained by OIG) is assigned to the package. This control number should be referenced at all times. Cite the GAO report number, the date, and title in the appropriate areas of the form. Address the SOA package to the attention of June Hill, OIG, Room 450-E, Jamie L. Whitten Building.

Attachment 2 of this exhibit is an example of a completed Correspondence Control Cover. A blank form will be forwarded via e-mail to the agency GAO Liaison Officer when the control number is obtained by OIG from OES.

**"35" Control Number**

The "35" controlled correspondence number is obtained by OIG and will be provided to the agency GAO Liaison Officer when assigned (usually within a week after receipt of the GAO final report).

**OES Signature Sheet  
Preparation**

Prepare an OES Signature Sheet to obtain approval signatures at the preparing agency head level and above. Include in the first column (as appropriate) acronyms for the preparing (lead) agency, agency head, appropriate Under/Assistant Secretary, etc.

Attachment 3 of this exhibit is an example of the OES Signature Sheet. The sheet may be modified to accommodate the agency's clearance preferences (below the Office of the General Counsel (OGC)/Office of Budget and Program Analysis (OBPA) level). A blank form will be forwarded via e-mail (along with the Correspondence Control Cover) to the agency GAO Liaison Officer when the control number is obtained by OIG from OES.

**SOA Package Clearances**

The appropriate agency head(s); Under Secretary(ies)/Assistant Secretary(ies), and/or Director(s); the OGC; and the OBPA should sign and date the OES clearance sheet of the SOA **prior** to submission to OIG. Each signature should appear in the "Final" block of the OES clearance sheet.

To expedite clearance, the SOA should be **hand carried** by the agency GAO Liaison Officer to each successive appropriate clearance office.

Internal clearances below the agency head level should not appear on the OES signature sheet. Requirements for such clearances are established at the discretion of the individual agency.

**SOA Package and Routing**

A pocket folder (portfolio) should be used. The completed Correspondence Control Cover should be stapled to the top of the portfolio. At minimum, the SOA package should contain:

In the right-hand side pocket:

- (1) The original; and
- (2) Three stapled copies of the SOA.



**SOA Package and Routing (Con.)**

In the left-hand side pocket:

- (1) The **salmon** copy of the SOA with the OES signature sheet (on white paper attached to the top of the salmon) showing the appropriate clearance signatures to be obtained;
- (2) A copy of the GAO final report; and
- (3) A disk containing an electronic version of the SOA.

Once appropriate clearances have been obtained (up to and including OBPA), the SOA package should be hand carried by the agency GAO Liaison Officer to the GAO Liaison Manager (June Hill), OIG, Room 450-E, Jamie L. Whitten Building for further processing.

**Transmittal Letters**

**No transmittal or memorandum** is required for the SOA package to be sent to OIG. OIG will prepare the necessary transmittal letters to the congressional committees, the Office of Management and Budget, and GAO.

**Note:** Controlled correspondence to incoming letters ("35's") need not be accompanied by informational memoranda.

**Agency Copies**

After the Secretary has signed the transmittal letters, OIG will furnish the agency GAO Liaison Officer with a copy of all correspondence.

## **STYLE**

In working with OES, the following style preferences have been requested and should be used when preparing the SOA for submission to the Secretary.

### **Heading and Date**

The heading should be centered and should appear in 12-point boldface Times New Roman type, followed by the date of preparation or last revision.

### **Format of SOA Body**

In general, all subhead and text type should appear flush left in 12-point regular Times New Roman. Subheads should appear in boldface type.

### **Acronyms**

Acronyms should be used sparingly to avoid confusing the reader. The first time a name (e.g., the name of a department, organization, or program) is used, it should be spelled out in full. If the name is to be used again, an acronym may be included in parentheses immediately after the first mention of the name and used thereafter instead of the full name. If the name is used only once, the acronym should not be used.

### **Bulleted Items**

In using bulleted items, be sure to use a "stem" to lead the reader conceptually into the material. Begin each bulleted item with a capital letter, and end it with a period (not a semi-colon). The first sentence of each bulleted item may be italicized if appropriate. Include a line of space between each of the bulleted items.

### **References**

References, if used, should be indicated in the text by a number (not a superscript) in parentheses, for example:

*USDA will review the GAO lists (1)  
and the EPA lists (2) periodically.*

**Proofreading**

The SOA should be proofread for accuracy and for adherences to the elements of style detailed in the U.S. Government Printing Office Style Manual (29<sup>th</sup> edition, 2000; <http://www.gpoaccess.gov/stylemanual/index.html>). The reviewer should also ensure:

- Proper reference to an agency title or program name (i.e., Office of the General Counsel, not Office of General Counsel).
- Proper use of initial caps when referring to:
  - o Department
  - o State, Federal
  - o Congress
- The particle "the" is no longer required if an acronym begins a sentence (unless the sentence reads awkwardly).

**PLEASE CONTACT JUNE HILL, OIG, ON (202) 720-6772  
IF YOU HAVE ANY QUESTIONS OR REQUIRE FURTHER INSTRUCTIONS.**

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**EXAMPLE OF ORIGINAL AND SALMON  
GOVERNMENT ACCOUNTABILITY OFFICE STATEMENT OF ACTION**

**U.S. Department of Agriculture  
Statement of Action on the  
U.S. Government Accountability Office Final Report [INSERT GAO REPORT NUMBER],  
“[INSERT THE FULL TITLE AS SHOWN ON THE COVER OF THE GAO REPORT]”**

**[INSERT DATE – example July 8, 2004]**

The purpose of this **INTRODUCTORY PARAGRAPH** is to orient the reader to the remainder of the report. This paragraph should include information on the "who, what, why, where, and when" to provide the reader with instant understanding of the gist of the piece. It is recommended that you paraphrase the "Highlights" section located on the first page of the Government Accountability Office (GAO) report. This section gives an explanation of why GAO conducted the study and a synopsis of the recommendations. The last sentence of this paragraph should lead the reader to the recommendations cited. **For example**, The following addresses those recommendations made specifically to the Department of Agriculture (USDA).

**General Comments**

Include any comments of a general nature, if applicable, that are not specifically relevant to an individual recommendation. If no general comments provided, *omit* this section from the statement of action (SOA). Any use of acronyms, including those cited in the GAO recommendations, should be written out the first time they are used with the acronym in parenthesis.

**GAO Recommendation**

Cite the first GAO recommendation reflected in the report. If at all possible, the GAO recommendation(s) should be stated in the same words as shown in the report.

**USDA Response (or Comment)**

Describe what action has been completed, what additional action is planned, and the estimated date(s) of completion. If there is disagreement with the GAO recommendation, state the reason.

If more than one agency is responding to the GAO recommendation, prepare one Departmental response to the recommendation that represents USDA's position. Describe what actions have been completed, what additional actions are planned overall, and the estimated dates of completion.

*Note:* This response should "speak in one voice" on behalf of USDA. Any agency disagreements concerning responses to recommendations should be reconciled prior to writing the SOA.

*Statement of Action on [Report Number, Short Title]*  
*Page 2*

**GAO Recommendation**

Cite the next GAO recommendation reflected in the report. If the SOA is more than one page, insert a "continuous" page break on the first page and title the succeeding pages as noted above using the GAO report number and a short title (e.g., *SOA on GAO-03-541, Rural Development: USDA's Outreach*). This text should be italicized 12-point Times New Roman type.

**USDA Response** (or Comment)

Again, describe what action has been completed, what additional action is planned, and the estimated date(s) of completion. If there is disagreement with the GAO recommendation, state the reason.

**CONTINUE THIS PATTERN FOR EACH GAO RECOMMENDATION, IMMEDIATELY FOLLOWED BY THE USDA'S RESPONSE(S)/COMMENT(S).**

**On last page (of salmon copy only) include**

AGENCY IDENTIFICATION (EXAMPLE: RHS/SWhite:202-720-1615:dm:7/8/04)

**EXAMPLE OF COMPLETED  
 CORRESPONDENCE CONTROL COVER**

**NOTE:** A blank form will be e-mailed to the Government Accountability Office (GAO) Liaison Officer for the agency's use

|                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                 |                                                     |                                 |          |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------|-----------------------------------------------------|---------------------------------|----------|
| <b>CORRESPONDENCE CONTROL COVER</b> for<br>U.S. Government Accountability Office<br>Statement of Action Package                                                                                                                                                                                                                                                               | <b>TO:</b><br>Office of Inspector General<br>ATTN: June Hill<br>Room 450-E, Jamie Whitten Bldg. | <b>DATE:</b><br>July 9, 2004                        | <b>JACKET NO:</b><br>35-4119681 |          |
|                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                 | <b>FILE DESIGNATION:</b><br>GAO-04-937              |                                 |          |
| <b>TITLE OF GAO AUDIT REPORT:</b><br>Rural Housing Service: Updated Guidance and<br>Additional Monitoring Needed for Rental Assistance<br>Distribution Process                                                                                                                                                                                                                |                                                                                                 |                                                     |                                 |          |
| <b>PREPARING AGENCY:</b><br>RHS                                                                                                                                                                                                                                                                                                                                               | <b>PHONE NUMBER:</b><br>(202) 692-0085                                                          | <b>CONTACT POINT IN AGENCY:</b><br>Betty O'Loughlin |                                 |          |
| <b>REMARKS:</b><br><i>For Secretary's signature. To be hand carried at all times. If problems arise, please contact June Hill, OIG, on 202-720-6772. <u>DO NOT</u> return package back to originating agency. Thank you.</i><br><br><i>Letters to the members of Congress, GAO, and OMB (in accordance with PL 97-258 and OMB Circular OMB A-50) will be prepared by OIG.</i> |                                                                                                 |                                                     |                                 |          |
| SENT TO                                                                                                                                                                                                                                                                                                                                                                       | ROOM NO.                                                                                        | DATE IN                                             | DATE OUT                        | INITIALS |
| 1. Administrator, RHS                                                                                                                                                                                                                                                                                                                                                         | 5014-S                                                                                          |                                                     |                                 |          |
| 2. Under Secretary,<br>Rural Development                                                                                                                                                                                                                                                                                                                                      | 206-W                                                                                           |                                                     |                                 |          |
| 3. General Counsel,<br>OGC                                                                                                                                                                                                                                                                                                                                                    | 1518-S                                                                                          |                                                     |                                 |          |
| 4. Director, OBPA                                                                                                                                                                                                                                                                                                                                                             | 101-A                                                                                           |                                                     |                                 |          |
| 5. OIG: June Hill                                                                                                                                                                                                                                                                                                                                                             | 450-E                                                                                           |                                                     |                                 |          |
| 6. Inspector General,<br>OIG                                                                                                                                                                                                                                                                                                                                                  | 117-W                                                                                           |                                                     |                                 |          |
| 7. OES                                                                                                                                                                                                                                                                                                                                                                        | 116-A                                                                                           |                                                     |                                 |          |
| 8.                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                 |                                                     |                                 |          |

**PRIORITY -- HANDLE PROMPTLY**

**KEEP THIS JACKET ON TOP OF CORRESPONDENCE AT ALL TIMES**

**Note:** Add other reviewers at agency level or above, as appropriate

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**EXAMPLE OF OES SIGNATURE SHEET**

**\*Printed on white paper and modified to reflect clearances necessary for your agency. To be placed on TOP of the salmon copy of the statement of action.**

U. S. Department of Agriculture  
 Office of the Executive Secretariat  
 Official Clearance Sheet

|                  |
|------------------|
| _____            |
| (Control Number) |

|                                                                              | DRAFT | REWRITE | FINAL |
|------------------------------------------------------------------------------|-------|---------|-------|
| AGENCY:<br>(Signature)<br>(Date)                                             |       |         |       |
| AGENCY HEAD:<br>Administrator, RHS<br>(Signature)<br>(Title)<br>(Date)       |       |         |       |
| UND/ASST. SEC:<br>Rural Development<br>(Signature)<br>(Title)<br>(Date)      |       |         |       |
| ADDT'L UND/ASST:<br><i>if applicable</i><br>(Signature)<br>(Title)<br>(Date) |       |         |       |
| OGC:<br>(Signature)<br>(Title)<br>(Date)                                     |       |         |       |
| OBPA:<br>(Signature)<br>(Title)<br>(Date)                                    |       |         |       |
| OIG:<br>(Signature)<br>(Title)<br>(Date)                                     |       |         |       |
| OES:<br>(Signature)<br>(Title)<br>(Date)                                     |       |         |       |
| EXEC. ASST:<br>(Signature)<br>(Title)<br>(Date)                              |       |         |       |
| SEC/AUTOPEN:                                                                 |       |         |       |

OES-1 (modified for GAO SOA) 10/20/04

**NOTE:** Include clearance lines for other reviewers as appropriate (i.e., other USDA agencies that provided responses if more than one agency was involved; or as instructed by OIG).

Exhibit H in PDF ONLY.



ABBREVIATIONS FOR STRET DESIGNATORS (STREET SUFFIXES)

|            |      |          |      |           |      |
|------------|------|----------|------|-----------|------|
| Alley      | ALY  | Fort     | FT   | Plaza     | PLZ  |
| Annex      | ANX  | Freeway  | FWY  | Point     | PT   |
| Arcade     | ARC  | Gardens  | GDNS | Port      | PRT  |
| Avenue     | AVE  | Gateway  | GTWY | Prairie   | PR   |
| Bayou      | BYU  | Glen     | GLN  | Radial    | RADL |
| Beach      | BCH  | Green    | GRN  | Ranch     | RNCH |
| Bend       | BND  | Grove    | GRV  | Rapids    | RPDS |
| Bluff      | BLF  | Harbor   | HBR  | REST      | RST  |
| Bottom     | BTM  | Haven    | HVN  | Ridge     | RDG  |
| Boulevard  | BLVD | Heights  | HTS  | River     | RIV  |
| Branch     | BR   | Highway  | HWY  | Road      | RD   |
| Bridge     | BRG  | Hill     | HL   | Row       | ROW  |
| Brook      | BRK  | Hills    | HLS  | Run       | RUN  |
| Burg       | BG   | Hollow   | HOLW | Shoal     | SHL  |
| Bypass     | BYP  | Inlet    | INLT | Shoals    | SHLS |
| Camp       | CP   | Island   | IS   | Shore     | SHR  |
| Canyon     | CYN  | Islands  | ISS  | Shores    | SHRS |
| Cape       | CPE  | Isle     | ISLE | Spring    | SPG  |
| Causeway   | CSWY | Junction | JCT  | Springs   | SPGS |
| Center     | CTR  | Key      | KY   | Spur      | SPUR |
| Circle     | CIR  | Knolls   | KNLS | Square    | SQ   |
| Cliffs     | CLFS | Lake     | LK   | Station   | STA  |
| Club       | CLB  | Lakes    | LKS  | Stravenue | STRA |
| Corner     | COR  | Landing  | LNDG | Stream    | STRM |
| Corners    | CORS | Lane     | LN   | Street    | ST   |
| Course     | CRSE | Light    | LGT  | Summit    | SMT  |
| Court      | CT   | Loaf     | LF   | Terrace   | TER  |
| Courts     | CTS  | Locks    | LCKS | Trace     | TRCE |
| Cove       | CV   | Lodge    | LDG  | Track     | TRAK |
| Creek      | CRK  | Loop     | LOOP | Trail     | TRL  |
| Crescent   | CRES | Mall     | MALL | Trailer   | TRLR |
| Crossing   | XING | Manor    | MNR  | Tunnel    | TUNL |
| Dale       | DL   | Meadows  | MDWS | Turnpike  | TPKE |
| Dam        | DM   | Mill     | ML   | Union     | UN   |
| Divide     | DV   | Mills    | MLS  | Valley    | VLY  |
| Drive      | DR   | Mission  | MSN  | Viaduct   | VIA  |
| Estates    | EST  | Mount    | MT   | View      | VW   |
| Expressway | EXPY | Mountain | MTN  | Village   | VLG  |
| Extension  | EXT  | Neck     | NCK  | Ville     | VL   |
| Fall       | FALL | Orchard  | ORCD | Vista     | VIS  |
| Falls      | FLS  | Oval     | OVAL | Walk      | WALK |
| Ferry      | FRY  | Park     | PARK | Way       | WAY  |
| Field      | FLD  | Parkway  | PKY  | Wells     | WLS  |
| Fields     | FLDS | Pass     | PASS |           |      |
| Flats      | FLT  | Path     | PATH |           |      |
| Ford       | FRD  | Pike     | PIKE |           |      |
| Forest     | FRST | Pines    | PNES |           |      |
| Forge      | FRG  | Place    | PL   |           |      |
| Fork       | FRK  | Plain    | PLN  |           |      |
| Forks      | FRKS | Plains   | PLNS |           |      |

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STANDARD ADDRESS ABBREVIATIONS  
TWO-LETTER STATE AND POSSESSION ABBREVIATIONS

|                                   |    |                          |    |
|-----------------------------------|----|--------------------------|----|
| Alabama                           | AL | Missouri                 | MO |
| Alaska                            | AK | Montana                  | MT |
| Arizona                           | AZ | Nebraska                 | NE |
| Arkansas                          | AR | Nevada                   | NV |
| American Samoa                    | AS | New Hampshire            | NH |
| California                        | CA | New Jersey               | NJ |
| Colorado                          | CO | New Mexico               | NM |
| Connecticut                       | CT | New York                 | NY |
| Delaware                          | DE | North Carolina           | NC |
| District of Columbia              | DC | North Dakota             | ND |
| Federated States of<br>Micronesia | FM | Northern Mariana Islands | MP |
| Florida                           | FL | Ohio                     | OH |
| Georgia                           | GA | Oklahoma                 | OK |
| Guam                              | GU | Oregon                   | OR |
| Hawaii                            | HI | Palau                    | PW |
| Idaho                             | ID | Pennsylvania             | PA |
| Illinois                          | IL | Puerto Rico              | PR |
| Indiana                           | IN | Rhode Island             | RD |
| Iowa                              | IA | South Carolina           | SC |
| Kansas                            | KS | South Dakota             | SD |
| Kentucky                          | KY | Tennessee                | TN |
| Louisiana                         | LA | Texas                    | TX |
| Maine                             | ME | Utah                     | UT |
| Marshall Islands                  | MH | Vermont                  | VT |
| Maryland                          | MD | Virginia                 | VA |
| Massachusetts                     | MA | Virgin Island            | VI |
| Michigan                          | MI | Washington               | WA |
| Minnesota                         | MN | West Virginia            | WV |
| Mississippi                       | MS | Wisconsin                | WI |
|                                   |    | Wyoming                  | WY |

DIRECTIONAL ABBREVIATIONS

|           |    |
|-----------|----|
| North     | N  |
| East      | E  |
| South     | S  |
| West      | W  |
| Northeast | NE |
| Southeast | SE |
| Southwest | SW |
| Northwest | NW |

Note: For certain computerized addressing needs, the National Five-Digit Zip Code & Post Office Directory contains two additional tables of official U.S. Postal Service abbreviations: (1) an Extended Suffix Table, containing suffix forms which appear in some address files, and the corresponding USPS suffixes as coded in the ZIP+4 National Directory File, and (2) abbreviations for postal names which cannot be reduced to 15 positions through use of standard abbreviations.

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