



SUBJECT: USU Directives System

Instruction 5025

AUG 16 2021

(ASD)

ABSTRACT

This Instruction assigns responsibilities, implements and provide procedures for the preparation, formatting, coordination approval, and publication of the Uniformed Services University of the Health Sciences (USU) Instructions, President's Policy Memoranda (PPMs), and Dean's Policy Memoranda (DPMs).

A. **Reissuance and Purpose.** This Instruction reissues USU Instruction 5025 (*Reference (a)*) to:

1. Implement DoDI 5025.1 (*Reference (b)*).
2. Provide procedures, establish policies, and assign responsibilities for the preparation and approval of USU Instructions, PPMs and DPMs (collectively referred to as "Directives"), with the exception of Standard Operating Procedures (SOPs). SOPs are prepared, used, and approved within the respective departments/activity, and are not coordinated via ASD.
3. Incorporate substantive administrative changes.

B. **References.** See *Enclosure 1*.

C. **Applicability.** The provisions for this Instruction apply to all USU departments and activities.

D. **Definitions.** See *Enclosure 2*.

E. **Policy.** It is USU policy to:

1. Follow DoD Issuances, as specified in DoDD 5025.1 (*Reference (b)*), unless a need is identified to establish a USU Instruction.
2. Develop and implement issuances needed for official policies, procedures, and to avoid issuances that unduly hinder the effectiveness of operations.
3. Maintain a single, uniform system governing the coordination, publication, dissemination, implementation, and review of USU issuances every five years.
4. Ensure the Office of Primary Responsibility (OPR) that originates the issuance solicits and acknowledges the views of appropriate USU officials, staff and faculty, and indicates acceptance or rejection of comments.

5. Follow the Instruction review process as outlined in *Enclosure 3, Attachment 1*.
6. Make all issuances effective on the date signed.

F. Responsibilities.

1. The President, USU shall:
 - a. Approve and sign all Directives, Directive System Transmittals.
 - b. Ensure that the Directive process is periodically reviewed.
2. The Deans, USU shall:
 - a. Approve and sign all DPMs that apply to their respective school or college.
 - b. Ensure the Directive process is periodically reviewed.
3. The Assistant Vice President for Finance and Administration (AVA) shall ensure, if necessary, the OPR's Chain of Command is contacted for a response to the review process when no response has been received by ASD after repeated communication attempts have been made.
 - a. Review coordination sheets to ensure that the OPR has responded to comments and resolved matters on the routing sheet.
 - b. Review Instructions and PPMs for appropriate policy and inclusion of all responsible parties that should review the document prior to further routing for the President's signature.
4. The Assistant Vice President of Accreditation and Assessment (OAC) shall:
 - a. Review coordination sheets to ensure that the OPR has taken action on comments and resolved matters.
 - b. Review Instructions and PPMs to ensure the appropriateness of policy and the inclusion of all responsible parties.
5. The Administrative Support Division (ASD) shall:
 - a. Establish master files for USU Directives, to include the original signed copy, all drafts, and coordination sheets.
 - b. Assign numbers in chronological order by year to DPMs, PPMs, and new Instructions in accordance with the DoD's Issuance Numbering System.
 - c. Format and edits all Directives, to include checking the references before routing to the President or Deans for signature.
 - d. Prepare the necessary form(s) for final coordination to the OPR for approval.


- e. Periodically communicating with all responsible parties and assisting with their requests, comments, and questions regarding Directives.
- f. ASD management shall contact the OPR when a reply has not been received.
- g. Date and upload signed Directives onto the ASD website, and periodically review to ensure accuracy.
- h. Ensure the Directives are 508 compliant.
- i. Ensure Directives are reviewed every five years.
- j. Ensure all inactive (cancelled and reissued) Directives, coordination information, to include (notes, questions, comments, emails and any background materials) are preserved and maintained in accordance with Administrative Instruction (AI) 15 and DoDI 5015.02.

6. The Department Chairs and Activity Heads (referred to as Office of Primary Responsibility (OPR)) responsible for specific issuances shall:

- a. Review Directives for their respective areas every five years or sooner when updates or new information should be included.
- b. Follow the formatting guideline in *Enclosure 3, Attachment 1*.
- c. Coordinate routing the Directive to USU departments using Form 5003.
- d. Forward a copy of revised or new Directive, drafts, all coordination information (replied emails, notes, questions, comments and any background materials), and Form 5003 to ASD.
- e. On the final draft, sign and date the Executive Summary Sheet, initial and date the Routing slip for the President/Dean's approval and signature. Respond to all comments, suggestions, and questions during routing.
- f. Forward all changes to ASD.

G. Procedures. See *Enclosure 3*.

H. Effective Date. This Instruction is effective immediately.


William M. Roberts, MD, MBA
Acting President

Date: 8-16-21

Enclosures:

1. References
2. Definitions
3. Procedures Attachments:
4. Guidelines for Preparation of USU Instructions/PPMs/DPMs
5. Template of a Completed Policy Memorandum
6. USU Coordination Form 5003
7. Form 5013
8. Executive Summary Sheet
9. Routing Sheet

REFERENCES

- (a) USU Instruction 5025, "USU Directive System," dated December 17, 2015 (hereby canceled).
- (b) DoDI 5025.1 "DoD Issuances Program," dated August 1, 2016, Incorporating Change 3, May 22, 2019.
- (c) DoDI 5015.2 "DoD Records Management Program," dated February 24, 2015, Incorporating Change 1, August 17, 2017.
- (d) Administrative Instruction (AI) 15, "OSD Records and Information Management Program," dated May 3, 2013, Incorporating Change 1, April 19, 2017.
- (e) "The DoD Issuance Numbering System," dated June 18, 2020.

DEFINITIONS

1. Instructions: USU Instructions are used to implement DoD Directives to prescribe internal policies and implementing procedures for USU.
2. Policy Memoranda: According to the DoD, memorandums are good for two years.
 - a. President's Policy Memoranda (PPMs) are used to publish policies and procedures for time-sensitive actions. They shall be effective for two years from the date published.
 - b. Dean's Policy Memoranda (DPMs) are used to publish policies and procedures for time-sensitive actions. They shall be effective for two years from the date published.
3. Directive Expiration: Directives are considered current when the information contained within it is accurate. The OPR must ensure that each of their Directive(s) are reviewed every five years or when necessary to determine revision or cancellation, as appropriate.
4. Reviewing Officials: Agency officials with a responsibility of reviewing, approving, and disapproving Directives to ensure compliance with USU's mission and values.
5. Office of Primary Responsibility (OPR): The department that initiates the established policy, assigns responsibilities with coordinating entities for the centralized content, ensuring DoD policy objectives and required capabilities are met.
6. Abstract: A brief summary of the Directive.
7. References:
 - a. Are a list of all documents and sources cited in the text.
 - b. Should always be at Enclosure 1 in a USU Directive.
 - c. Must appear in order as listed in the text.
 - d. Must be current.
 - e. Documents listed as references will not be enclosures to the Directive.
 - f. Drafts and documents to be issued or revised will not be listed as references.
8. Enclosures: Consist of material pertaining to, but not included in, the established sections. Enclosures must be identified and listed in the order appearing in the text. Attachments to Enclosures are listed and attached to the last page of an enclosure.
9. Standard Operating Procedures (SOP's): Are prepared and approved internally within a department or activity. There are no requirements from ASD.
10. Directive System Transmittal: Directive System Transmittals are for minor changes usually less than 25% of the document.

PROCEDURES

1. Reissuance: Directives should be reviewed and reissued five years from the last publication date, but can be done without changing the content if the information remains applicable or current. Directives can also be canceled when the guidance is no longer pertinent. Revised Directives (applicable only to Instructions) will keep their number. Review will be initiated by the OPR or ASD upon the expiration date of the Directive. A Directive System Transmittal may be used if minor amendments are required before the Directive expires. (See section 4 of this *Enclosure*).

a. ASD: Will ensure a review of all Directives as required by USU Instruction 5025 (*Reference (a)*), will:

- 1) Notify the OPR via email when their Directive is due for review and update.
- 2) Send the most current copy of the Directive as a Word document, Form 5003 (See *Enclosure 3, Attachment 3*), and Form 5013 (See *Enclosure 3, Attachment 4*) for coordination.

b. OPR: Ensure each responsibility is verified and is appropriately assigned. Ensure the validity of all references to include the correct title and the most current versions are cited.

- 1) OPR revises the Directive by following the formatting guidance in *Enclosure 3, Attachment 1*, and in accordance with this Instruction.
- 2) OPR routes Directive within the department and to all responsible parties using coordination Form 5003 or departmental routing sheet. (See *Enclosure 3, Attachment 3*).
- 3) OPR sends the final draft, Coordination Form 5003 (See *Enclosure 3, Attachment 3*) Form 5013 (See *Enclosure 3, Attachment 4*), and all background materials to ASD.

c. Pre-coordination:

- 1) ASD formats, edits, and checks references, before final coordination begins.
- 2) ASD prepares the final draft, Executive Summary Sheet, Routing Sheet, and electronically routes or hand carries as requested to the OPR for final approval and signature.
- 3) The OPR signs and dates the Executive Summary Sheet, initials and dates the Routing Sheet and sends to ASD.
- 4) Upon the OPR's approval and signature, ASD will begin coordination for final approval to obtain the President's or Dean's signature.

d. Final Coordination:

- 1) ASD will electronically route the final draft, current copy, Executive Summary Sheet, and Routing sheet, or prepare a yellow folder containing those documents as requested. (See *Enclosure 3, Attachment 5*).
- 2) Reviewing officials or offices must review all Directives to make sure the University remains in compliance. (See *Enclosure 3, Attachment 6*).
 - a) Each identified Reviewing Official must initial and date the Routing sheet; and
 - b) Provide comments, questions, or recommendations (if any) to ASD via e-mail or hard copy.
- 3) ASD will communicate with the OPR and the Reviewing officials until all concerns are resolved and the Directive is signed.

2. New Directives:

- a. New Instruction numbers are assigned in accordance with DoD Issuance Numbering System, based on its subject matter. The OPR should contact ASD for guidance on which subject group applies to the Directive.
- b. PPM's and DPM's must be used only for time sensitive actions and cannot be reissued with the same number. They are numbered sequentially in the calendar year issued.
 - 1) Temporary numbers are assigned to PPM's or DPM's during coordination, for example; PPM-001-2019T. With the letter "T" indicator.
 - 2) The letter "T" is removed upon approval and signature.
 - 3) All memorandums in routing at the end of the year are subject to a new number if signed the following calendar year.
- c. When writing a new Directive the OPR shall:
 - 1) Follow the formatting guidelines in *Enclosure 3, Attachment 1*.
 - 2) Coordinate within 30 days and have a target date for implementation of 90 days.
 - 3) Use department's Routing Sheet (or USU Form 5003), coordinate draft Directive within the department and to all officials mentioned in the Directive. If no response is received within the coordination period, the OPR should reach out to the individual or activity to determine if a response will be forthcoming before moving forward with the publication. If no response will be forthcoming, the non-responsiveness of the activity will be viewed as no comment.

- 4) Coordinate a second round of review if necessary or when changes are made to the Directive based on the comments received during the review/coordination.
 - 5) Forward all copies of coordination correspondence to include email replies with the USU Form 5003, (or your department's Routing sheet), and the final draft to ASD via e-mail replies or hard-copy.
- d. Upon receiving a new Directive ASD shall:
- 1) Format the Directive in accordance with USU Instruction formatting guideline (*See Enclosure 3, Attachment I*), electronically route or prepare yellow folder as requested with the final draft, and begin routing for the President's or Dean's approval and signature.
 - 2) During the routing process, ASD will forward questions, comments and/or concerns from the reviewing officials to the OPR for a response.
 - 3) Upon the President's or Dean's approval and signature, notify the OPR, date stamp, and post the Directive onto ASD's website under "USU Directives."
3. Amendments/Changes (or Directive Transmittal): This document used by ASD to amend a Directive when an immediate action is required. The OPR sends a request to ASD to initiate all amendments/changes. Amendments/changes generally should not exceed 25% of the Directive.
- a. OPR shall:
- 1) Send the proposed amendments to ASD via email or hard copy as requested.
 - 2) Forward all background materials that prompted amendments. (Notes, questions, comments, email replies).
- b. ASD shall:
- 1) Notate all amendment/changes onto a Directive Transmittal sheet, per OPR request.
 - 2) Send an electronic message to the OPR or prepare the yellow folder as requested..
 - 3) Communicate with the OPR and the Reviewing officials until all concerns are resolved and the Directive is signed.
 - 4) Upon the President's or Dean's approval and signature, notify the OPR, date stamp, and post the Directive Transmittal Sheet in front of the current Directive on ASD's website under "USU Directives".

*NOTE: Changes are reflected only on the Directive Transmittal sheet signed by the President or Dean and uploaded in front of the current Directive. Changes are NOT incorporated in the body and the number remains the same of the current Directive.

4. Cancellations: Directives are canceled when the OPR determines it has served its purpose and is no longer needed for business.

a. ASD shall:

- 1) Prepare a Directive Transmittal sheet notating cancellations.
- 2) Follow the same coordination process as new/revised Directives, prepares the necessary forms and routing sheets for electronic routing or yellow folder as requested and begin routing for the President's or Dean's approval and signature.
- 3) Upon approval and signature, ASD will date stamp the transmittal, notify the OPR via email, and remove the Directive from ASD's website.
- 4) All canceled Directives will be maintained IAW AI-15 and DoDI 5015.02.

5. Signature Authorities: The following officials will sign the Directives as follows: All Instructions and PPMs, will be signed by the President, USU.

SOM-DPMs, Dean, School of Medicine.

GSN-DPMs, Dean, Graduate School of Nursing.

CAHS-DPMs, Dean, College of Allied Health Sciences.

Instructions with two signature panels, President, USU, and the respective Dean(s).

Attachment 1

**GUIDELINE FOR PREPARATION OF USU
INSTRUCTIONs/PPMs/DPMs**

1. Writing Style: USU Instructions, PPMs and DPMs must be written clearly.
 - a. Use short, simple words and limit sentences. Keep sentences brief and avoid technical jargon.
 - b. Write in the active voice.
 - c. Highlight title paragraphs of important concepts. Avoid long, rambling, and disjointed paragraphs, especially those having many subparagraphs.
2. Abstract: Write a summary paragraph of the Instruction. (For Instructions Only)
3. Headings: Use the following headings in the order shown. If not applicable, leave out the heading, and re-letter as appropriate. Contact ASD if additional headings are required.

SUBJECT: Name of the subject.

- A. Purpose. The purpose of this policy memorandum is to ...
- B. References. *See Enclosure #.*
- C. Applicability. This memorandum applies to all USU personnel.
- D. Responsibilities.
- E. Policy. This policy is about.
- F. Definitions. *See Enclosure #.*
- G. Office of Primary Responsibility (OPR). The Office of General Counsel will serve...
- H. Procedures. *See Enclosure #.*

I. Effective Date. This Instruction, PPM, or DPM is effective immediately.

Please use the signature block of the President or the Dean as listed below:

For Instructions or PPMs:

William M. Roberts, MD, MBA
Acting President

For DPMs:

School of Medicine:

Eric A. Elster, MD, FACS, FRCSEng (Hon.) CAPT, MC,
USN
Dean, School of Medicine,
Professor of Surgery

Graduate School of Nursing:

Carol Romano, Ph.D, R.N., FAAN
Dean

Post Graduate Dental College:

Drew W. Fallis, DDS, MS
Executive Dean

College of Allied Health Sciences:

Lula Westrup Pelayo, Ph.D., RN, FAAN
Dean

TEMPLATE OF A COMPLETED PRESIDENT'S POLICY
MEMORANDUM

PPM-000-0000T OPR

SUBJECT: Standards for Animal Surgery within USU and USU-Sponsored Programs

A. Purpose. This Policy Memorandum supersedes USU PPM-002-1997 (November 17, 1997) establishes and defines the standards for all animal surgeries within USU and USU-sponsored programs.

B. References. See *Enclosure 1*.

C. Applicability. This Policy Memorandum applies to USU personnel performing any surgical procedures on animals.

D. Policy. The Veterinary Surgery Division (VSD), Center for Laboratory Animal Medicine (CLAM), will provide surgical support/assistance in a timely and professional manner.

E. Definitions. See *Enclosure 2*.

F. Office of Primary Responsibilities (OPRs).

1. The Chief, Veterinary Surgery Division, shall:

- a. Coordinate the use of all VSD facilities.
- b. Ensure that the standards of the AWA Regulations (*Reference (b)*), DOD Instruction (*Reference(c)*) and ILAR Publication (*Reference (d)*) are followed.
- c. With the approval of the Chairperson, Institutional Animal Care and Use Committee (IACUC) and/or Director, CLAM, approve minor exceptions to Procedures.

2. Principal Investigators shall:

- a. Schedule procedures in advance.
- b. Coordinate requirements with VSD or Veterinary Medicine Division (VMD).

G. Procedures. See *Enclosure 3*.

H. Effective Date. This PPM shall be effective from the date of signature.

William M. Roberts, MD, MBA
Interim President

Enclosures:

TEMPLATE OF A COMPLETED DEAN'S POLICY
MEMORANDUM

School of Medicine DPM-000-0000T
OPR

SUBJECT: Standards for Animal Surgery within USU and USU-Sponsored Programs

A. Purpose. This Dean's Policy Memorandum supersedes School of Medicine (SOM) DPM-002-1997 (November 17, 1997) establishes and defines the standards for all animal surgeries within USU and USU-sponsored programs.

B. References. *See Enclosure 1.*

C. Applicability. This DPM applies to USU personnel performing any surgical procedures on animals.

D. Policy. The Veterinary Surgery Division (VSD), Center for Laboratory Animal Medicine (CLAM), will provide surgical support/assistance in a timely and professional manner.

E. Definitions. *See Enclosure 2.*

F. Responsibilities.

1. The Chief, Veterinary Surgery Division, shall:
 - a. Coordinate the use of all VSD facilities.
 - b. Ensure that the standards of the AWA Regulations (*Reference (b)*), DOD Instruction (*Reference (c)*) and ILAR Publication (*Reference (d)*) are followed.
 - c. With the approval of the Chairperson, Institutional Animal Care and Use Committee (IACUC) and/or Director, CLAM, approve minor exceptions to Procedures.
2. Principal Investigators shall:
 - a. Schedule procedures in advance.
 - b. Coordinate requirements with VSD or Veterinary Medicine Division (VMD).

G. Procedures. *See Enclosure 3.*

H. Effective Date. This DPM shall be effective from the date of signature.

Eric A. Elster, MD, FACS, FRCSEng (Hon.)
CAPT, MC, USN
Dean, School of Medicine
Professor of Surgery

Enclosures:

USU COORDINATION FORM 5003

1. INSTRUCTION/PPM/DPM NUMBER & TITLE:
2. RETURN COORDINATED
INSTRUCTION /PPM/DPMTO: NAME:
PHONE:
3. INSTRUCTION/PPM/DPM IS: _____REVISED _____NEW
4. REQUIRED SIGNATURES/APPROVED E-MAIL OF ALL APPROPRIATE
DEPARTMENTS LISTED IN THE INSTRUCTION/PPM/DPM: **CONCUR OR
NON-CONCUR** (Please indicate). Please See below:

Listed Departments:	Signatures:	DATE:	Concur/Non-concur:
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____
5. _____	_____	_____	_____
6. _____	_____	_____	_____
7. _____	_____	_____	_____
8. _____	_____	_____	_____

UNIFORMED SERVICES UNIVERSITY OF THE HEALTH SCIENCES
4301 JONES BRIDGE ROAD BETHESDA, MARYLAND 20814-4799

MEMORANDUM FOR DIRECTOR, ADMINISTRATIVE SUPPORT DIVISION THROUGH: OFFICE
OF ACCREDITATION & ASSESSMENT

SUBJECT: Review and Update of USU Instruction/PPM/DPM

Number, "Title" Check applicable line below:

_____ I have reviewed the subject document, and find that it requires the OPR to
initiate coordination. I expect to complete revision of this PPM/DPM by_

_____ I have reviewed the subject document, and have coordinated the minor changes or
corrections on the attached with the appropriate departments. I forward it to ASD
to complete the document.

_____ I have reviewed the subject document, and find that it requires no
changes/corrections. I understand that it will be five years before the next review.

_____ I have reviewed the subject document, and find that it requires
cancellation. Justification for cancellation is as follows:

-

_____ I have reviewed the subject document and find that _____ is not the
appropriate Issuing Office for this PPM/DPM. I recommend that the
OPR for this PPM/DPM should be

Signature

Name

Department

Date

Form 5013



UNIFORMED SERVICES UNIVERSITY OF THE HEALTH SCIENCES

4301 JONES BRIDGE ROAD
BETHESDA, MARYLAND 20814-4712
www.usuhs.edu



Enclosure 3
Attachment 5

EXECUTIVE SUMMARY/COVER BRIEF MEMORANDUM FOR THE PRESIDENT, USU
FROM: Karen Moore, Director, Administrative Support Division

SUBJECT: Proposed USU Instruction 1306, "Academic Standing of Graduate Fellows." (*Change Instruction number and title as appropriate*)

PURPOSE:
To obtain your approval of the following recommendation.

RECOMMENDATION

It is recommended that the proposed changes be approved and signed by the President, USU. (It is requested that all documents be signed and returned to ASD within 5 working days of the processed date for signature.)

OFFICE OF PRIMARY
RESPONSIBILITY (OPR)

CHIEF OF STAFF

DATE

DATE

VICE PRESIDENT FOR FINANCE
AND ADMINISTRATION (VFA)

PRESIDENT

DATE

DATE

Instruction XXXX		ROUTING SHEET		Date: MMM DD, YYYY	
	TO:	Initials	Date	Initials	Date
1.	Office of Primary Responsibility (OPR) (insert Office of Primary Responsibility)				
2.	Assistant V.P. for Accreditation (OAC)				
3.	Office of General Counsel (OGC)				
4.	Assistant V.P. for Administration (AVA)				
5.	V.P. for Finance and Administration (VFA)				
6.	Chief of Staff for the Office of the President				
7.	President (PRS)				

REMARKS: Please contact LaKashia Richardson, Administrative Support Division (295-3005) or lakashia.richardson.ctr@usuhs.edu questions or concerns.

Subject: "University Catalog" *change as appropriate*

FROM: Administrative Support Division