

## **Preparing, Issuing, Communicating and Documenting a Letter of Information**

### **General Tips:**

1. Print your letter on official letterhead that includes the address of your work unit.
2. If the alleged noncompliant entity is a multi-state organization or you are aware of issues in more than one state, the LOI should be addressed to the head of the company or the “registered agent” for the company. You can obtain the name of the registered agent through the state government, generally a State Corporation Commission, or equivalent agency. If you need assistance identifying the registered agent, please consult your local IES official.
3. Use active voice in preparing any statements throughout the LOI. A passive voice makes it difficult for the reader to determine who is responsible for what action. Use “APHIS” as the determining agency instead of PPQ whenever possible in the LOI.
4. Be specific and clear; do not include opinions or unsubstantiated facts.
5. Clearly identify the nature of the regulated article (soil, pests, plant or animal products, other commodities that host pests, garbage, etc.) and the improper actions (disposal, improper treatment, movement, etc.) that occurred.
6. If the LOI is written for an animal product, animal by-product or international garbage, you must contact the local AQI Veterinary Medical Officer for review of the draft letter prior to issuance. Veterinary Services has requested this additional step for the interim to ensure LOI’s are appropriately issued when animal regulations are involved.
7. (a) If an officer completes the LOI, concurrence must be documented on the LOI from their first line PPQ manager. Concurrence above first line supervisor, if necessary, will be left to the SPHD’s discretion.  
(b) If a supervisor completes the LOI, documented secondary managerial concurrence, if necessary, will be left to the SPHD’s discretion.
8. Send or fax the LOI by return receipt. If the entity is one you interact with frequently, consider hand delivery and ask the recipient to acknowledge receipt by initialing or signing and dating a copy of the letter. Retain all records of proof of delivery with the official file copy of the signed LOI.
9. Upload a scanned copy of the signed LOI and proof of receipt by the addressee to the PPQ Compliance and Enforcement SharePoint Site at:  
<http://sp.we.aphis.gov/PPQ/fieldops/pgmops/excop/CandE/default.aspx> If it is an incident of noncompliance regarding a containment facility or permit conditions, also upload the letter in ePermits.

10. When uploading the document, use the following naming convention: **Two letter state abbreviation, followed without a space by the last two digits of the calendar year, followed by a dash and four sequential numbers beginning with 0001 (ex: ID13-0001).**
11. It will be incumbent upon each SPHD office to track and issue the LOI number sequence each year for their state(s) to avoid duplication or non-sequential numbering of LOIs.
12. If an LOI is issued to an entity in another state, the local manager will notify the SPHD in the state where the LOI recipient resides. This completed notification will also be recorded in the SharePoint site. Select N/A when the LOI recipient is within same state as issuer. Communication prior to issuing the LOI is also encouraged.