

Department of Homeland Security
DHS Directives System
Directive Number: 112-01
Revision Number: 00
Issue Date: 04/10/2008
DIRECTIVES SYSTEM

I. Purpose

This Directive establishes the policy, authorities, responsibilities and requirements for preparing, coordinating, and submitting Directives for approval and issuance by the Department of Homeland Security (DHS).

II. Scope

- A. This Directive applies throughout DHS.
- B. This Directive does not govern documents that are information or transitory (short term) in nature.
- C. For those Components with existing systems for the issuance of documents that articulate Component policies, missions, programs or activities, which are similar to Directives as defined herein, the Component may continue to use that existing system for such documents that are internal to that Component, and that do not impact other Components. Existing systems, however, must support the DHS Directives System with appropriate coordination.
- D. DHS Management Directive 0010.2, Management Directive Systems, is hereby canceled. Directives established under the Management Directives System remain in effect until revised or specifically canceled.

III. Authorities

- A. Title 5, United States Code, Section 552, Public information; agency rules, opinions, orders, records, and proceedings (“Freedom of Information Act”)
- B. Title 44, United States Code, Sections 3101 - 3107, Records Management by Federal Agencies (“Federal Records Act”)
- C. DHS Delegation 0201.1, “Delegation to the Under Secretary for Management”

IV. Responsibilities

- A. The **Office of the Under Secretary for Management**. Responsible for all aspects of this Directive.
- B. The **Office of the Chief Administrative Officer (OCAO)**: Supports the Office of the Under Secretary for Management, and through the Directives Manager, ensures the effective performance of all policies and procedures set forth in this Directive and its accompanying Instructions.
- C. The **Office of the General Counsel (OGC)**: Provides legal advice, guidance, and review of all DHS Directives. Component General Counsels are responsible for providing legal advice, guidance, and review for all Component-specific Directive, Instructions, and Other Implementing Documents.
- D. **Component heads and Designated Officials**:
1. Issue Directives within their area of responsibility.
 2. Responsible for the content of Directives drafted and issued on behalf of their organization.
 3. Provide the names of designated Directives Originators to the Directives Manager.
- E. **Directives Manager**: Manages the DHS Directives System, ensuring the effective and efficient issuance and maintenance of Department-level policies and procedures as required for DHS missions, programs, and activities.
- F. **Directives Originator**: Designated official responsible for managing the application of the DHS Directives System. Submits the Component draft Directives, Instructions and any required revisions including the reconciliation of Component comments to the DHS Directives Manager, in the format and manner prescribed by this Directive and its accompanying Instructions.

V. Policy and Requirements

A. In addition to regulations published in the Code of Federal Regulations and Federal Register notices, the **DHS Directives System** is an official means of communicating to DHS employees the policies, delegations of authority and procedures necessary for DHS to comply with pertinent Executive Orders, statutes, regulations, and policies. All DHS officers and employees are responsible for acting in accordance with the applicable policies and procedures as established in the Directives System. The System consists of **Policy Statements**, **Directives** and **Instructions** that are systematically prepared and revised to meet the needs of DHS.

B. **Policy Statements** issued by or at the direction of the Secretary of Homeland Security, Deputy Secretary of Homeland Security, or Office of the Secretary of Homeland Security address the overarching objectives of major Departmental or Governmental initiatives or programs. Policy Statements may or may not trigger the issuance of a Directive.

C. **Directives** briefly and broadly articulate and build on DHS policy statements, policies, missions, programs, activities or business practices of a continuing nature that are required or authorized by statute, rulemaking, the President, or the Secretary to initiate, govern or regulate actions or conduct by DHS Components, officers, and employees.

Specifically, Directives:

1. Describe a policy, mission, program, or activity's purpose, scope, and authority.
2. Establish and delegate responsibilities, and set forth policies and procedures, when such procedures are simple and brief.
3. Do not address one-time or short-term matters or prescribed detailed instructions on implementation and/or compliance.

Issuing Office:

4. When the subject matter is multi-Component in nature, the Directives are issued by the Under Secretary for Management after proper DHS- wide coordination.
5. When the subject matter affects only a single Component, and do not impact any other Component equities, Component-specific Directives are issued by the Component head after proper coordination within the originating Component.

D. **Instructions** implement or supplement DHS Directives, Executive Orders, regulations (Code of Federal Regulations) and Federal Register notices, by providing uniform procedures and/or prescribing the manner or a specific plan or action for carrying out the policy, operating a program or activity, and assigning responsibilities.

Specifically, Instructions:

1. Explain how to implement the policies or requirements of a DHS Directive.
2. May not establish policy or impose responsibilities beyond those in the governing Directive, Executive Order, regulation (Code of Federal Regulations) or Federal Register notice.

Issuing Office:

3. The originating Component head, Deputy, or Chief Officers within the Office of the Under Secretary for Management will approve the Instruction. The Office of the Chief Administrative Officer will ensure proper coordination among affected organizations and publication of the Instruction documents.

E. **Other Implementing Documents** provide guidance, technical or programmatic in nature, which assist in implementing Policy Statements, Directives, and Instructions.

Specifically, Other Implementing Documents:

1. Frequently provide more detailed information to assist in the implementation of Policy Statements, Directives, and Instructions.
2. May include, but are not limited to, manuals, guides, handbooks, reference books, standard operating procedures, and other similar documents.

Issuing Office:

3. Dependent upon the nature of the implementing documents, the issuing office may be the Component head, Deputy, Chief Officers within the Office of the Under Secretary for Management, or the appropriate Program Office.

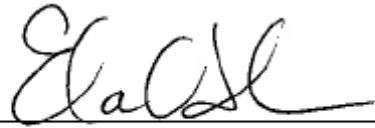
F. **Summary:**

Type	Issuing Office	Minimum Review Required
Policy Statements	Secretary of Homeland Security, Deputy Secretary of Homeland Security, or Office of the Secretary of Homeland Security	N/A
Directives		
A. Multi-Component	Under Secretary for Management	All DHS
B. Single Component	Component head	Component Process
Instructions	Component head, Deputy, or Chief Officers within the Office of the Under Secretary for Management	All DHS
Other Implementing Documents		
A. Manuals and Guides providing technical information and references	Component head, Deputy, or Chief Officers within the Office of the Under Secretary for Management	Affected Disciplines
B. Handbooks and Desk References providing sample reference materials	Program Office	Issuing Office
C. Standard Operating Procedures including checklists	Program Office	Issuing Office

G. The ***Format and Content*** of publications issued through the DHS Directives System shall be governed by this Directive and any implementing Instructions.

VI. Questions

Address any questions or concerns regarding this Directive to the Directives Manager, at Directives@hq.dhs.gov.



Elaine C. Duke

Deputy Under Secretary for Management

10 April 2008
Date