

ISSUING OF DELEGATIONS OF AUTHORITY

I. Purpose

This Instruction implements the Department of Homeland Security (DHS) Directive 112-03, Delegations of Authority.

II. Scope

A. This Instruction applies throughout DHS. For those Components with existing Delegation systems, the Component may continue to use that system provided those delegations are available on DHS Online as appropriate. Otherwise, Executive Level and Component Delegations must be processed through the Office of the Chief Administrative Officer.

B. There are three types of Delegations:

1. Executive Level Delegations are signed by the Office of the Secretary;
2. Component Delegations are signed by Component heads; and
3. Internal Delegations are within a Component and signed below the Component head level. Please note Directive 112-03 does not cover Internal Delegations.

III. Definitions

A. **Component Delegation**: Documents the specific responsibility and authority of the Component head to certain subordinate officials. In certain cases, a Component head may, when specifically authorized to do so, delegate authority to another Component head, or outside DHS. A Component head signs Component Delegations, after the Secretary or Deputy Secretary has delegated such authority, or where authority resides in statutes, Executive Orders, or the Code of Federal Regulations.

- B. **Delegation of Authority (Delegation)**: Designates an individual as being authorized to act on behalf of the Secretary, Office of the Secretary or Component heads. Individuals are identified by title or position, not by name. Exception: individuals outside DHS may be identified by name, in certain circumstances.
- C. **DHS Online**: The DHS secured intranet portal.
- D. **Executive Level Delegation**: Documents the specific responsibility and authority of the Secretary or Deputy Secretary to DHS or other personnel or agencies. The Secretary or Deputy Secretary signs Executive Level Delegations that provide specific responsibilities and authorities.
- E. **Internal Delegation**: Documents the responsibility and authority within a Component, but below the Component head level.
- F. **Internet Quorum (IQ)**: Browser-based management and workflow application that facilitates and tracks interaction with key offices and constituencies.

IV. Responsibilities

A. The **Office of the Chief Administrative Officer (MGMT/OCAO)** (through the Directives Manager):

1. Provides advice and assistance to DHS officials responsible for drafting Delegations.
2. Reviews draft Delegations for formatting, clarity and consistency.
3. Assigns Delegation numbers and maintains electronic document control.
4. Coordinates the internal clearance and approval process.
5. Makes all approved documents accessible via electronic means.
6. Follows the additional procedures as listed in Section V.

B. The **Office of the General Counsel (OGC)**:

Provides legal counsel for the Department, including the review of documents to ensure legal sufficiency.

C. The **Office of the Executive Secretariat (ESEC)**:

Finalizes the draft Executive Level Delegations for the Office of the Secretary signature.

D. **Component heads**, as pertains to their area of responsibility:

1. Draft Delegations and coordinate drafts through the DHS Office of the Chief Administrative Officer, as appropriate.
2. Submit draft Executive Level Delegations in the prescribed format ([Attachment 1](#)) and draft Component Delegations (as appropriate), to the Office of the Chief Administrative Officer at Directives@hq.dhs.gov.

V. Content and Procedures

A. **Executive Level Delegations** are processed as following:

1. The Component or the Office of the General Counsel creates the draft Delegation in the format provided in [Attachment 1](#).
2. The draft Delegation (along with any supporting documents) is sent to OCAO at Directives@hq.dhs.gov and is:
 - a. Given a number assignment (per the chart in [Attachment 2](#));
 - b. Reviewed for format, clarity and consistency, and reformatted if necessary;
 - c. Submitted for concurrence to Components that have equity in the draft, through IQ.
 - d. Updated by the originating Component or designated official to resolve any comments received.
 - e. Submitted to OGC for review and concurrence;
 - f. Entered into the IQ System and queued to the Management (MGMT) Executive Secretary.
3. MGMT reviews and approves the Delegation and then queues the workflow to the Executive Secretariat (ESEC) in IQ.
4. ESEC clears and approves the Delegation for signature.

5. The Secretary (or Deputy Secretary) signs and approves the Delegation making it an official Delegation.
6. The approved Delegation is submitted back to ESEC, who:
 - a. Scans the signed Delegation into IQ; and
 - b. Notifies MGMT of the approval of the Delegation (by email and/or IQ);
7. OCAO then:
 - a. Reviews and posts the Delegation on DHS Online;
 - b. Closes out the workflow in IQ (if necessary);
 - c. Creates a folder and files the Delegation and any supporting documents (OCAO has the responsibility for maintaining the record copy); and
 - d. Emails various DHS employees that the Delegation is now available on DHS Online.

B. **Component Delegations** are processed as follows:

NOTE: Component Delegations are submitted to OCAO if the Component does not have a system in place, per Section II.A. If a Component has a system, this section does not apply.

1. The Component creates the draft Delegation in the format provided in [Attachment 1](#). The Component is responsible for coordinating drafts for approval/review throughout their Component, prior to submittal to OCAO.
2. The draft Delegation (along with any supporting documents) is sent to OCAO at Directives@hq.dhs.gov and is:
 - a. Given a number assignment (per the chart in [Attachment 2](#));
 - b. Reviewed for format, clarity and consistency, and reformatted if necessary;
 - c. Submitted to the Office of the General Counsel (OGC), General Law Division and any other Components that may have equity for concurrence; and
 - d. Submitted back to the Component for review and signature.

3. The Component head then signs the draft making it an official Delegation.
4. The Delegation is submitted back to OCAO, who:
 - a. Reviews and posts the Delegation on DHS Online;
 - b. Creates a folder and files the Delegation and any supporting documents (OCAO has the responsibility for maintaining the record copy); and
 - c. Emails the originator and DHS employees that the Delegation is now available on DHS Online.

VI. Questions

Address any questions or concerns regarding this Instruction to the Directives Manager, at Directives@hq.dhs.gov or the Office of the General Counsel, General Law Division.



Donald G. Bathurst
Chief Administrative Officer

7 Aug 2008

Date

FORMAT REQUIREMENTS FOR DELEGATIONS OF AUTHORITY

Department of Homeland Security

DHS Delegation Number:

Revision Number:

Issue Date:

DELEGATION TITLE

I. Purpose

This section provides a brief statement describing the intent of the delegation.

II. Delegation

This section describes the authority that is being delegated and the officials to and from whom the authority is being delegated. This section should also be used to describe any reservations of authority.

[Subject to my oversight, direction, and guidance, I hereby delegate to the (Component head) the authority to:]

III. Re-delegation

This section describes any re-delegation of authority, if applicable.

[Unless re-delegation is otherwise prohibited by law, the authorities delegated herein may be re-delegated in writing to an appropriate subordinate official of the (Component).]

IV. Authorities

This section outlines the legal authority for making the delegation.

V. Definitions

This section provides definitions for unique terms that relate to the delegation.

VI. Office of Primary Interest

This section identifies the office with primary interest in the delegation. Position titles should be provided whenever possible.

VII. Cancellation

This section identifies any delegations, which have been superseded by this issuance.

VIII. Signature Block

This section contains the name and title of the individual signing the delegation.

_____	_____
DHS Official Name	Date
DHS Official Title	

DELEGATION NUMERICAL POLICY SYSTEM

00000 – Management (MGMT)
00100 – Office of the Secretary (SEC)
00400 – General Counsel, Office of the (OGC)
00500 – Management – Chief Administrative Office (MGMT/OCAO)
00700 – Management – Chief Procurement Office (MGMT/OCPO)
00800 – Inspector General, Office of (OIG)
01000 – Management – Chief Financial Office (OCFO)
02000 – Public Affairs, Office of (OPA)
03000 – Management – Chief Human Capital Officer (MGMT/OCHCO)
04000 – Management – Chief Information Office (MGMT/OCIO)
05000 – Health Affairs, Office of (OHA)
06000 – Legislative Affairs, Office of (OLA)
07000 – Border and Transportation Systems – Cancelled
07100 – Customs and Border Protection, United States (CBP)
07400 – Immigration and Customs Enforcement, United States (ICE)
07700 – Transportation Security Administration (TSA)
08000 – Information Analysis and Infrastructure Protection - Cancelled
08500 – Intelligence and Analysis, Office of (I&A)
09000 – Emergency Preparedness and Response – Cancelled
09500 – Federal Emergency Management (FEMA)
10000 – Science and Technology (S&T)
11000 – Secret Service, United States (USSS)
12000 – Management – Chief Security Office (MGMT/OCSSO)
13000 – Privacy Officer, Chief (PRIV)
14000 – Coast Guard, United States (USCG)
15000 – Citizenship and Immigration Services, United States (USCIS)
16000 – Counternarcotics Enforcement, Office of (CNE)
17000 – National Protection and Programs Directorate (NPPD)
18000 – Domestic Nuclear Detection Office (DNDO)
19000 – Civil Rights and Civil Liberties (CRCL)
20000 – Federal Law Enforcement Training Center (FLETC)
21000 – Operations Coordination, Office of (OPS)
22000 – Citizenship and Immigration Services Ombudsman (CISOMB)
23000 – Policy, Directorate for (PLCY)