

Issue Date: 8/3/2004

ADOPTION OF DEPARTMENT OF HOMELAND SECURITY (DHS) NATIONAL STANDARDS

I. Purpose

This directive provides general guidance and instructions for adoption, review, and revision of Department of Homeland Security (DHS) National Standards. Since its inception, DHS has recognized the need to identify appropriate and effective standards for Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE) equipment, other standards required to ensure the security of U.S. national borders and infrastructures, and especially standards related to equipment and procedures for the nation's first responders. The lack of uniform, effective standards has led to inferior equipment being purchased; incompatibility among the equipment, processes and procedures of first responder and other units; and a lack of effectiveness and efficiency in other activities designed to ensure the security of U.S. borders and infrastructures. DHS has established the DHS National Standards adoption process as a means of assisting local, state and federal procurement and regulatory officials and manufacturers in making procurement decisions and in developing regulatory requirements.

II. Scope

This directive applies to all DHS organizational elements.

III. Authorities

- A. The Homeland Security Act of 2002, codified in Title 6, US Code.
- B. The National Technology Transfer and Advancement Act (NTTAA), P.L. 104-113.
- C. Office of Management and Budget (OMB) Circular No. A-119, Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity Assessment Activities (February 19, 1998) (63 FR 8545) <<http://www.ts.nist.gov/ts/htdocs/210/nttaa/pubs/fr-omb119.pdf>>.

IV. Definitions

- A. **AS-S&T**: Assistant Secretary, Planning, Programs and Budget, S&T Science and Technology Directorate.
- B. **Consensus Standards**: Standards developed or adopted by voluntary consensus standards bodies.
- C. **Control Number (CN)**: An interim number used to identify and track a document through this process.
- D. **DHS National Standard**: A standard adopted by DHS to assist local, state and federal government officials and manufacturers in making procurement and regulatory decisions regarding equipment and processes related to homeland security, especially equipment for the nation's first responders. Such standards will be considered and adopted in a manner consistent with DHS's obligations under the World Trade Organization (WTO) Agreement and under the National Technology Transfer and Advancement Act (NTTAA).
- E. **DHS National Standards Database**: Electronic repository for information on all DHS National Standards.
- F. **DHS Standards Council (DSC)**: A body of Science and Technology (S&T) Directorate managers that serves as an advisory board to the Standards Portfolio Manager (SPM) and is comprised of S&T Directorate staff members who represent the threat areas, the operational directorates, and state and local interests.
- G. **Identification Number (ID)**: A permanent number assigned to a document upon its adoption as a DHS National Standard.
- H. **National Standard Form-100 (Form-100)**: DHS National Standard Form used for the approval, review, and revision of a DHS National Standard.
- I. **National Standard Form-110 (Form-110) (Also know As One-Page Citation (OPC)**: A one-page-citation of an existing standard that contains: the DHS Title and Identification Number; date of issuance; developer/owner of the standard; developer/owner's identification marks for the standard; scope of the standard in relationship to DHS issues; and information on other relevant publications.

- J. **One-Page Citation (OPC): Also known as DHS National Standard Form-110 (Form-110)**: A one-page-citation of an existing standard that contains: the DHS Title and Identification Number; date of issuance; developer/owner of the standard; developer/owner's identification marks for the standard; scope of the standard in relationship to DHS issues; and information on other relevant publications.
- K. **Science and Technology (S&T) Standards Portfolio Manager (SPM)**: Representative of the S&T Directorate with responsibility for conducting S&T standards-related activities and for chairing the DHS Standards Council.
- L. **Standards Coordinator (SC)**: DHS representative who manages and administers the DHS National Standards Program.
- M. **Standards Subject Area Expert (SSAE)**: DHS staff member or contractor with a demonstrated knowledge of the technical field covered by a standard.
- N. **Standards Subject Area Working Group (SSAWG)**: A team of experts and stakeholders that assist in the review of standards in a specified technical field submitted for adoption or revision under the DHS National Standards Program.
- O. **Standards Submitter (SS)**: Person or organization that recommends a standard for adoption as a DHS National Standard.
- P. **Standards Acceptance Package (SAP)**: Package containing: a copy of the proposed DHS National Standard and other pertinent documents (e.g., correspondence from the submitter and stakeholders); OPC (National Standard Form-110); statements or documents the Standards Subject Area Expert (SSAE) or Standards Subject Area Working Group (SSAWG) members wish to include in the package; and a completed National Standard Form-100 showing approval by the SSAE and/or the SSAWG.
- Q. **Standards Review Package (SRP)**: Package containing: a copy of the proposed DHS National Standard and other pertinent documents (e.g., correspondence from the submitter, information on CFR references); Form-100; and OPC (Form-110).

R. **Type A Standards**: Existing consensus standards having a long-standing, general acceptance in the relevant field or new standards published by a voluntary consensus standards body to address a homeland security need. (Examples: ANSI N42.32: Performance Criteria for Alarming Personal Radiation Detectors for Homeland Security or NIOSH Chemical, Biological, Radiological and Nuclear (CBRN) Standard for Open-Circuit Self-Contained Breathing Apparatus.)

S. **Type B Standards**: Standards with wide applicability that are in use by a segment of the relevant field, (e.g., state or local government body, a Federal government department, or private industry) or draft standards out for final ballot by a voluntary consensus standards body. The latter case would occur only when the final vote is expected to be a formality, and no serious negative comments have been or are likely to be received that would halt the approval process.

T. **Type C Standards**: Standards under development by a voluntary consensus standards body or existing standards in use by a small segment of the relevant field and which have been submitted for adoption by a voluntary consensus standards body. (Example: A standard under active development by an IEEE Committee that is still at the committee level. Once such a standard is out for final ballot and where no sustained negative comments are likely, it would be considered, a Type B Standard.)

U. **Type D Standards-Related Documents**: Other documents that are not standards, but have potential for use as a standard for DHS and homeland security purposes. (Example: a federal guidance document or set of procurement requirements that could be used as the basis for a standard or an Office for Domestic Preparedness training guide.)

V. **Voluntary Consensus Standards Body**: A body (either domestic or international) which plans, develops, establishes, or coordinates voluntary consensus standards using agreed-upon procedures (e.g., ASTM International, the National Fire Protection Association (NFPA), AOAC International, the International Organization for Standardization (ISO)). Voluntary consensus bodies are defined by the following attributes: (i) openness; (ii) balance of interests; (iii) due process; (iv) an appeals process; and (v) consensus, which requires general agreement among interested parties, but not necessarily unanimity, and includes a process for attempting to resolve objections by interested parties.

V. Responsibilities

- A. **Standards Submitter (SS)**: shall be responsible for the following tasks:
1. Recommending standards for adoption as DHS National Standards.
 2. Providing supporting information as needed for adoption, such as level of acceptance by the relevant emergency responder community, organizations, training institutions, and government agencies.
 3. Reviewing existing standards for applicability and recommending modifications to proposed and existing DHS standards as appropriate.
 4. Completing Form-100.
- B. **Standard Coordinator (SC)**: Shall be responsible for the following tasks:
1. Assigning Control Numbers and tracking the status of proposed DHS National Standards.
 2. Recommending, in coordination with the DHS Standards Council, to the Assistant Secretary, S&T Directorate, DHS, the adoption or rejection of new standards as DHS National Standards.
 3. Recommending, in coordination with the DHS Standards Council, to the Assistant Secretary, S&T Directorate, DHS, the adoption or rejection of submitted modifications to established DHS National Standards.
 4. Assigning Identification Numbers to adopted standards and maintaining a file of adopted standards, including documentation on their publication and adoption, subsequent revisions, and modifications.
 5. Archiving “controlled” hard copies of all adopted DHS National Standards.
 6. Ensuring that appropriate security measures are followed for the handling of any classified materials.
- C. **Standards Subject Area Expert (SSAE)**: shall be responsible for the following tasks:
1. Submitting standards for adoption as DHS National Standards.
 2. Ensuring that proposed DHS National Standards have been assigned a CN by the Standards Coordinator.

3. Recommending DHS staff with the necessary expertise and security clearances (where necessary) to serve on a Standards Subject Area Working Group for the proposed DHS National Standard and serving as leader of the Standards Subject Area Working Group.
4. Reviewing proposed DHS National Standards, including any accompanying information, with the assistance of the Standards Subject Area Working Group.
5. Gaining consensus of the Standards Subject Area Working Group as to a recommendation regarding adoption or rejection of a proposed DHS National Standard or referral back to the submitter for modification of the proposed DHS National Standard.
6. Ensuring that appropriate security measures are followed for the handling of any classified materials received or transmitted.

D. **S&T Standards Portfolio Manager (SPM)**: shall be responsible for the following tasks:

1. Verifying that consensus of the Standards Subject Area Working Group as to the recommendation has been achieved and that dissenting views have been adequately considered by the Standards Subject Area Working Group.
2. Serving as Chairperson, *ex officio*, of the DHS Standards Council.
3. Approving nominations to the DHS Standards Council and the Standards Subject Area Working Groups.
4. Overseeing activities of the DHS National Standards program and the development and maintenance of the DHS National Standards Database.
5. Ensuring that Control Numbers (CNs) and Identification Numbers (IDs) have been assigned as appropriate by the Standards Coordinator.
6. Ensuring that appropriate security measures are followed for the handling of any classified materials.

E. **DHS Standards Council (DSC)**: shall be responsible for the following tasks: Serving as an advisory board to the Standards Portfolio Manager and the AS-S&T on the S&T Standards Portfolio.

F. **Assistant Secretary, Planning, Programs and Budget, S&T (AS-S&T)**: shall be responsible for the following tasks:

1. Approving the strategy and budget of the Standards Portfolio.
2. Exercising final approval authority over all DHS National Standards.

VI. Policy & Procedures

A. **Policy**:

The DHS National Standards program is designed to assist in the identification, creation, and cataloging of all standards that are necessary for the proper execution of Department of Homeland Security activities. These standards will be used to assist local, state and federal procurement and regulatory officials and manufacturers in making procurement decisions and in developing regulatory requirements. Standards of various kinds, e.g., equipment, components, systems, can be accepted under the auspices of this program. Appropriate security policies and procedures will be in place and effectively implemented in the handling of any classified materials.

B. **General Adoption Procedures**:

1. The Standards Portfolio Manager shall oversee the standards program.
2. Standards Subject Area Working Groups will be established for each S&T standards portfolio area. Smaller teams may be established as needed.
3. Control Numbers (CNs) will take the following format "CN-AAAA-#### (CYYY-MM)" where the designation "CN-" will be followed by a two to four letter designation for the major User group employing the following hierarchy. For example, "BTS" for organizations under Borders and Transportation, "SL" for state or local governing bodies; or "PRV" for private sector organizations. This will be followed by a four-digit sequential number that is the next number available on the list of controlled numbers. The last segment of the control number will indicate the date of submission (calendar year followed by month in the format (YYYY-MM)).

4. Identification Numbers (IDs) will take the following format “AAAA-#### (CYYY). IDs will essentially be the same as the Control Number except the “CN-“ designation is deleted. The User group designation remains the same unless changed during the review process. The sequential number will be the next available number in the DHS National Standards Database. The last segment of the ID will indicate the year of adoption or last review. IDs assigned by the document’s originating organization shall be maintained for proper citation and cross-reference purposes. These IDs will be maintained in a separate field in the DHS National Standards Database.
5. The DHS National Standards Database will be used to track standards through the development process, maintain information on active standards, and archive deactivated standards. Control Numbers and Identification Numbers will be permanently recorded in the DHS National Standards Database. The following documents will be maintained in the database for legal purposes: active National Standards; proposed but rejected standards; and deactivated National Standards. A hard copy file system of these documents will also be maintained.
6. Appropriate security policies and procedures will be in place and effectively implemented in the handling of any classified materials.
7. Stakeholders and interested parties may propose standards for adoption as a DHS National Standard by submitting the “Approval, Review, and Revision Form,” (Form-100) along with the standard and any relevant information.
8. The appropriate review Process will be selected for each type of standard.
 - a. Type A Standards are to be sent through the normal adoption process.
 - b. Type B Standards are to be sent through the normal adoption process unless urgent need requires otherwise. Final draft standards may begin the normal adoption process.
 - c. Type C Standards are to be sent through the normal adoption process. Standards under development should only begin the normal adoption process if there is an urgent need.
 - d. Type D documents are to be sent though the normal adoption process.

9. All proposed DHS National Standards are submitted to the Standards Coordinator of the Science and Technology Directorate, Department of Homeland Security.

C. **Procedures for Normal Adoption:**

1. All proposed DHS National Standards are submitted to a Standards Coordinator in the Science and Technology Directorate, Department of Homeland Security.

2. The Standards Coordinator creates a Control Number (CN) for the document and records the CN on Form-100.

3. The Standards Coordinator (SC) determines if a proposed DHS National Standard is suitable for adoption as a DHS National Standard. If the standard is not suitable or for any reason is not ready for the adoption process, the SC indicates disapproval on Form-100 and adds a brief reason for rejection/modification, signs and dates the form, and sends it back to the submitter.

4. For a proposed DHS National Standard that the Standards Coordinator (SC) has determined is suitable for adoption, the SC places an entry for the proposed standard in the DHS National Standards Database and creates an SRP (in electronic format if feasible).

5. The Standards Coordinator updates, signs and dates Standard Form-100 and sends the SRP to the Standards Subject Area Expert (SSAE).

6. If the Standards Coordinator forwards the SRP to the Standards Subject Area Expert (SSAE), the SSAE reviews the SRP and decides if an adoption/rejection decision can be made without submission to a Standards Subject Area Working Group (SSAWG). If the SSAE makes such a decision, the SSAE indicates approval/disapproval on Form-100, updates, signs, dates Form-100, and sends the signed form with the SRP back to Standards Coordinator. If the SSAE cannot make such a decision, the SSAE sends copies of the SRP to all members of the SSAWG.

7. The Standards Subject Area Expert then attempts to gain consensus of the Standards Subject Area Working Group (SSAWG) regarding the recommendation for adoption/rejection and establishes a completion date for SSAWG review.

8. The Standards Subject Area Working Group reviews the SRP on a timely basis and attempts to reach consensus on adoption/ rejection of proposed DHS National Standard.

9. After Standards Subject Area Working Group consensus is achieved, the Standards Subject Area Expert updates, signs and dates Form-100 and sends the signed form with the SRP back to the Standards Coordinator.

10. The Standards Coordinator then prepares a Standards Acceptance Package (SAP) and sends the SAP to the Standards Portfolio Manager.

11. If the Standards Portfolio Manager (SPM) determines that the Standards Acceptance Package (SAP) is not complete, the SPM returns the SAP to the Standards Coordinator (SC) with suggestions for additions or improvement to the SAP, or with directions to return it to the submitter. The SC will then follow the procedures outlined in Section D of this directive if the package is to be returned to the submitter.

12. If the Standards Acceptance Package is complete, the Standards Portfolio Manager updates, signs and dates Form-100.

13. If the Standards Portfolio Manager (SPM) determines that DHS Standards Council consensus is needed, the SPM then sends the Standards Acceptance Package to the DHS Standards Council.

14. Upon request by the Standards Portfolio Manager, the DHS Standards Council will review the Standards Acceptance Package and attempt to reach consensus on its approval or rejection.

15. If the Standards Acceptance Package (SAP) is approved, the DHS Standards Council signs Form-100 and sends the SAP to the AS-S&T through the Standards Portfolio Manager with recommendation for adoption. If the SAP is disapproved, the DHS Standards Council returns the SAP to the Standards Coordinator (SC) with suggestions for improvement, or with directions for its return to the Standards Submitter. The SC will then follow the procedures outlined in Section D of this directive.

16. When the Standards Acceptance Package (SAP) is forwarded to the AS-S&T, the AS&ST or his delegate will review the SAP; indicate approval/disapproval, sign and date Form-100 and send the SAP with the signed form back to the Standards Portfolio Manager.

17. If approved, the Standards Portfolio Manger (SPM) will then request that the Standards Coordinator (SC) assign an Identification Number (ID) to the standard and place the standard in the DHS National Standards Database. If disapproved, the SPM will then direct the SC to follow the procedures outlined in Section D of this directive.

D. **Rejection and Appeals Procedures:**

1. If the Standards Coordinator (SC) believes the standard is not ready for the adoption process, or the SC receives a Standards Acceptance Package (SAP) that has been returned at any stage in the process with a recommendation for the SAP's return to the submitter or a disapproval notation, the SC will record or update the standard's status in the DHS National Standards Database and will file a hard copy of the package.

2. The Standards Coordinator will then send a notification letter to the Standards Submitter with any of the following that apply: a copy of the document including its Control Number (CN), suggestions for changes made by reviewers, and reasons for rejection.

3. The Standards Submitter can make the suggested changes (if acceptable) and request that the document be sent directly to those who made the suggestions for rapid consideration.

4. If suggested changes are not acceptable, the Standards Submitter may submit additional documentation and/or request a meeting with the Standards Coordinator, the Standards Portfolio Manager, or the AS-S&T.

5. If no action is taken by the Standards Submitter (SS) within thirty days of being sent a notification letter that the standard has been withdrawn from consideration, the process is terminated. However, the standard may be resubmitted by the SS at any time for reconsideration.

6. If substantive changes (other than those suggested during the review process) are made by the Standards Submitter after receipt of the notification letter, the Standards Coordinator will resend the document with other appropriate materials through the normal process.

E. **Procedures Following the Adoption Process:**

1. After completion of the adoption process, the Standards Coordinator receives the approved Standards Acceptance Package, assigns an Identification Number to the newly adopted DHS National Standard, and files a hard copy of package.

2. At least biannually, the Standards Coordinator will send a list of newly adopted DHS National Standards for publication in a Federal Register Notice. The Notice will contain the name of the standard, the Identification Number, and other appropriate information.

F. **Records Retention Procedures:**

1. SRPs for non-adopted DHS National Standards will be kept for a period of three (3) years.

2. Standards Acceptance Packages for adopted DHS National Standards will be kept indefinitely.