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Department of Homeland Security
DHS Directives System
Directive Number: 112-01
Revision Number: 01
Issue Date: 9/26/2011
DIRECTIVES SYSTEM

I. Purpose

This Directive establishes the policy, authorities, and responsibilities 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- B. DHS Directive 112-01, Revision 00, "Directive Systems," is superseded.

III. Authorities

- A. Title 5, United States Code, Section 301, Departmental Regulations
- B. DHS Delegation 0201.1, "Delegation to the Under Secretary for Management"

IV. Responsibilities

Component Heads, Chief Acquisition Officer, Management Line of Business Chiefs, and Management Chief of Staff:

- A. Draft Directives, Instructions, or Other Implementing Documents within their areas of responsibility.
- B. Provide to the DHS Directives Manager the name of an individual within the Component or line of business responsible for interacting with the Directives Manager, and the name of the employee within the Component or line of business authorized to submit Directives, Instructions and other Implementing Documents to the DHS Directives Manager.

V. Definitions

- A. **Directives Originator**: The author of a Directive and/or Instruction. This individual should be able to respond to content related inquiries.
- B. **DHS Directives Manager**: MGMT Directorate employee responsible for the Directives System, including responding to all inquiries related to the Directives System and maintaining timely execution and completion of the identified Directives System.
- C. **Component Directives Manager (or Point of Contact [POC])**: DHS Component representative who coordinates all Directives System activities within a Component. This individual is also the expert inside of a Component on the proper format for any document in the DHS Directives System.
- D. **Senior Accountable Official**: An individual in a Component at the Chief of Staff level or higher (or designee) who provides final approval on all Directives System related documents on behalf of the Component.

VI. Policy and Requirements

- A. The **DHS Directives System** is an official means of communicating to DHS employees the delegations of authority, policies, and procedures necessary for DHS to comply with public law, statutes, Executive Orders, 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 **Delegations**, **Designations**, **Directives**, **Instructions**, and **Other Implementing Documents** that are systematically prepared and revised to meet the needs of DHS. The Under Secretary for Management develops and oversees the implementation of policies within the Department regarding the DHS Directives System.
- 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 Departmental or Governmental initiatives or programs. The material in a Policy Statement is incorporated into a new Directive or the appropriate Directive(s) at the earliest possible time, but not later than the next Directive update.
- C. **Delegations** specify who is authorized to act on behalf of the Secretary, Office of the Secretary, Component heads, or other officials invested with authority within the Department. Delegations from the Secretary and delegations affecting more than one Component, are posted in the DHS Directives System.

D. **Designations** indicate the officers or employees (by title) within the Department named by the Secretary to fulfill positions created by Public Law, statute, Executive Order, Executive Memorandum, or regulation, who are responsible for carrying out specific functions as described in the creating documents. The Secretary may specify restrictions or additional requirements when making the designations.

E. **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 personnel. Specifically, Directives:

1. Describe a policy, mission, program, or activity's purpose, scope, and authority.
2. Outline 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 prescribe detailed instructions on implementation and/or compliance.
4. Do not address subject matter affecting and/or impacting a single Component. Component-specific Directives are issued by the Component after proper coordination within the Component.

F. **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 Directive, Executive Order, regulation, or Federal Register notice.
2. Are restricted to implementing the broad policies of the governing document and do not establish strategic programmatic policies or responsibilities beyond those in the governing Directives, Executive Orders, regulations, or Federal Register notices.
3. Are approved by the responsible Component head, Management Line of Business Chief, Management Chief of Staff, or Chief Acquisition Officer after appropriate Departmental clearance and legal review.

G. **Other Implementing Documents**, such as manuals, guides, handbooks, reference books, standard operating procedures and other similar documents provide technical or programmatic guidance which assists in implementing Policy Statements, Directives and/or Instructions. Specifically, other implementing documents:

1. Compile information from other authoritative sources, provide details for implementation, or adopt standards for compliance.
2. Are restricted to subject matter that is to be implemented by a particular functional area across Components, and as a general matter, do not directly affect interests outside those functional areas.
3. Are issued by the appropriate Component head, Line of Business Chief, Management Chief of Staff, or Chief Acquisition Officer after coordination with stakeholders and legal review.
4. Are coordinated as an Instruction if the document contains elements of an Instruction.

VII. Questions

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



Rafael Borrás
Under Secretary for Management

9-26-11

Date