

Issue Date: 1/24/2003

ORGANIZATION CONTROL SYSTEM

I. Purpose

This directive establishes policy and general guidance for the preparation, coordination, review and approval of Headquarters and field organization structures and/or changes in such structures.

II. Scope

This directive applies to all DHS Headquarters elements.

III. Authorities

- A. Homeland Security Act of 2002, codified in Title 6, US Code.
- B. There may be statutory provisions pertaining to the organization, or procedures for reorganization, of units within the Department. This directive is not intended to modify or affect any such statutory requirement, condition or other limitation.

IV. Definitions

- A. **Department**: The Department of Homeland Security (DHS).
- B. **Designated DHS Official**: Senior DHS officials as designated by the Secretary, Deputy Secretary or Under Secretaries.

V. Responsibilities

- A. The **Secretary**: approves all new departmental organizations and changes thereto for those organizations at a level reporting directly to the Secretary.
- B. The **Deputy Secretary**: approves all organizational changes other than those approved by the Secretary. The Deputy Secretary may delegate the responsibility as appropriate.

C. **Under Secretary for Management:** in coordination with the Executive Secretary, shall be responsible for the following:

1. Providing technical advice and assistance to DHS officials responsible for drafting the documents.
2. Reviewing draft documents for clarity and consistency.
3. Assigning identification numbers and maintaining electronic document control.
4. Coordinating internal clearance and approval process, including establishing review timelines, through electronic means.
5. Making all approved documents accessible via electronic means.

D. **All Under Secretaries and Designated DHS Officials:** shall be responsible for preparing proposals for the creation or change of organizational structures in their respective areas and submitting them for approval in accordance with this Management Directive.

E. **The General Counsel:** shall be responsible for ensuring that proposed organizational structures and changes thereto are in accordance with all applicable laws, rules and regulations.

VI. Policy & Procedures

A. **Preparation of Proposals for the Creation or Change of Organizational Structures:** Each proposal for the creation or change of an organizational structure should contain the following information:

1. A brief explanation of the proposed organizational structure or change thereto. As appropriate, this should include describing how the proposal will enhance the mission of the organization, improve alignment with the strategic plan, improve customer service, improve efficiency and possibly save money.
2. If a change is involved, a succinct description of the differences between the proposed new structure and the present structure, presenting the advantages resulting from each change.
3. A statement of any legal requirements or conditions applicable to the change.

4. All realigned or otherwise affected organizational charts, maps, new or revised functional statements, and a list of positions by occupation/grade for the present and proposed organizations. Organizational charts should include an approval line for the Assistant Secretary for Management.
5. A brief explanation of the impact on unionized and non-unionized employees, including Senior Executive Service positions, authorized personnel ceilings and average grade.
6. An assessment of challenges in implementing the proposal. The proposal should also describe any communications which have taken place.
7. Any Department Directive or regulation that needs revision to reflect the new organizational structure.

B. **Procedures for Review and Approval:** Each Under Secretary and designated DHS official will transmit proposals to the Undersecretary for Management staff review and analysis. The Under Secretary for Management will coordinate the review and approval process, including obtaining General Counsel concurrence, before the proposal is submitted to the Secretary or Deputy Secretary.

C. **Publication of Changes:**

1. The Under Secretary for Management shall publish organizational changes in the Federal Register when required by 5 U.S.C. 552(a) or other statute or regulation.
2. The Undersecretary for Management shall ensure DHS Management Directives and other governing documents are updated as changes are approved.

D. **Questions or Concerns Regarding the Process:** Any questions or concerns regarding this directive should be addressed to the Office of the Under Secretary for Management.