

Department of Homeland Security
DHS Directives System
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STANDARDS POLICY GOVERNANCE AND COORDINATION

I. Purpose

This Directive establishes policies, responsibilities, and requirements regarding the strategic governance and coordination of standards and conformity assessment activities within the Department of Homeland Security (DHS). More specifically, this directive implements the government-wide policy¹ on the development and use of voluntary consensus standards and conformity assessment schemes developed by the private sector as a means to eliminate the cost to the Department of developing its own standards, decreasing the cost of the goods procured, and reducing the burden of complying with regulations. Moreover, partnering with the private sector to develop, use and promote standards and conformity assessment schemes aligns with the Quadrennial Homeland Security Review, which advocates for the execution of our mission through public-private partnerships.

II. Scope

This Directive applies throughout DHS.

III. Authorities

- A. Title 15, United States Code (U.S.C.), § 272 note, "Utilization of Consensus Technical Standards by Federal Agencies"
- B. Title 6, U.S.C., § 112, "Secretary; functions"; § 321m(a)(2)(C) "Voluntary private sector preparedness accreditation and certification program"
- C. Office of Management and Budget (OMB) Circular A-119: "Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity Assessment Activities," January 27, 2016
- D. OMB Circular A-130: "Managing Federal Information as a Strategic Resource," July 28, 2016
- E. Title 15, Code of Federal Regulations (CFR), Part 287, "Guidance on Federal Conformity Assessment"

¹ The DHS Standards Policy (6 U.S.C. § 112 (g)) incorporates the Federal Standards Policy comprising subsection 12 (d) of the National Technology Transfer and Advancement Act (NTTAA) of 1995, as well as OMB A-119, January 27, 2016.

- F. DHS Delegation 10001-01, "Delegation to the Under Secretary for Science and Technology," April 28, 2014
- G. Memorandum, "Designation of the U.S. Department of Homeland Security Standards Executive," October 15, 2014
- H. Memorandum, "Improving Immigration Data Analysis and Reporting," September 6, 2016

IV. Responsibilities

- A. The **Deputy Secretary** ensures that Department-wide data standards established by the Immigration Data Integration Executive Steering Committee supporting an immigration data warehouse are established in coordination with the Under Secretary for Science and Technology, Under Secretary for Policy, and Chief Information Officer (CIO).
- B. The **Under Secretary for Science and Technology (USST)** ensures coordination of standards and conformity assessment activities and fosters implementation of the DHS standards policy by:
 - 1. Designating a senior-level official to serve as the DHS Standards Executive.
 - 2. Approving the Component Standards Executive members nominated by Component heads in coordination with the DHS Standards Executive.
 - 3. Convening leadership-level steering committees, panels, or task forces to develop strategy, update policy, and establish processes related to the implementation of the DHS Standards Policy.
 - 4. Chartering the DHS Standards Council to coordinate implementation of the Standards Policy and other requirements outlined in Section V.
- C. The **CIO** establishes policies and processes requiring that open data standards are used to the maximum extent possible when implementing information technology systems. The CIO also ensures that policies are implemented to address the availability of voluntary standards through the Research Library and Information Services Program.
- D. The **Chief Procurement Officer (CPO)** ensures that the Department's procurement policy promotes the use of voluntary consensus standards consistent with section 5 of OMB A-119 particularly where such use could foster competition and reduce costs.
- E. The **Executive Director, Office of Program Accountability and Risk Management** develops and maintains acquisition program management policy, procedures and guidance processes that provide for the use of voluntary consensus standards for engineering, logistics, and sustainment throughout the entire life cycle spectrum.

- F. The **Chief Security Officer** ensures that the Department uses voluntary consensus standards and conformity assessment procedures in the Department's security programs for information security, physical security, operational security, and industrial security.
- G. The **Chief Readiness Support Officer** ensures the use of standards, including management system practices, developed or adopted by voluntary consensus standards bodies when standardizing the Department's approach to real property design, construction and operations, and personal property management including mobile assets.
- H. The **Assistant Secretary of Border, Immigration, and Trade:**
1. Ensures that the Department consults with the Office of the U.S. Trade Representative regarding international trade obligations when they involve DHS regulatory activities, standards, conformity assessment procedures, or procurements. The Assistant Secretary undertakes this activity in coordination with the Office of the General Counsel and the Assistant Commissioner of the Office of Trade, U.S. Customs and Border Protection.
 2. Ensures that the Department's operational components actively participate in the Immigration Data Integration Initiative Executive Steering Committee Working Group on Data Governance, and comply with the immigration data standards established by that Group.
- I. The **Deputy Assistant Secretary for the Private Sector** ensures the Department's standards activities use existing processes for open, transparent, and effective communication with private sector interests. The Special Assistant to Secretary also promotes voluntary preparedness standards to the private sector and assists the private sector in adopting voluntary preparedness standards.
- J. The **DHS Standards Executive** coordinates implementation of DHS standards policies within the Science & Technology Directorate (S&T) and across the homeland security enterprise to help ensure the consistency, interoperability, and effectiveness of Component activities and systems used to support homeland security. Specifically, the DHS Standards Executive:
1. Implements and ensures Department compliance with the policies of OMB A-119 in accordance with procedures described therein.
 2. Serves as the DHS principle representative on the Interagency Committee on Standards Policy.
 3. Monitors and coordinates DHS engagements with voluntary consensus standards bodies and communicates with other outside parties (other federal agencies; foreign, tribal, state and local governments; and the private sector) with regard to voluntary consensus standards and conformity assessment activities.

4. Chairs the DHS Standards Council, helping the DHS Standards Executive implement the Standards Policy and support the preparation of an annual report described in sections 9 through 11 of OMB A-119.
 5. Coordinates with DHS officials: such as the Chief Financial Officer; Chief Human Capital Officer; CPO; Assistant Secretary for International Affairs; and DHS General Counsel, to ensure that processes exist for the review of proposed DHS support for, and participation in, domestic and international standards bodies.
 6. Coordinates with the director of the National Institute of Standards and Technology on the development of administrative guidance and training on standards and conformity assessment policy.
- K. **Component Standards Executives (CSEs)** implement Sections 14 b-d of OMB A-119 within their Component in accordance with DHS policies and directives. CSEs serve on the DHS Standards Council and provide the DHS Standards Executive the necessary and appropriate information and data to prepare the reports required by Sections 9 through 11 of OMB A-119. CSEs also regularly advise, inform, and consult with the USST through the DHS Standards Executive on strategy issues, challenges, and best practices related to implementing the Standards Policy.
- L. The **Component Heads** implement the policies of OMB A-119 within their respective Components in accordance with procedures and concepts described therein and in applicable DHS policies and directives. Accordingly, Component Heads affected by this Directive (see paragraph V. C.) nominate to the USST a senior-level official to serve as a CSE with the qualifications outlined in Section 14 (a) of OMB A-119. Working through the Component Acquisition Executive and the CSE, Component Heads promote the use of voluntary consensus standards in support of their acquisition programs and requiring activities, establishing policies and processes to support the identification, management, and review of the use of such standards. Component Heads participate in the DHS Immigration Data Integration Initiative Executive Steering Committee, as this is the governing body for standards development within the Immigration Domain.

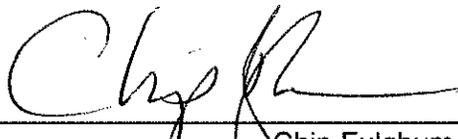
V. Policy and Requirements

The policy in this section reinforces the Department's standards policy as established in the Homeland Security Act of 2002. This policy recognizes the variety of ways that standards and conformity assessment schemes support the mission of homeland security, from regulations and procurement to operations. The policy also recognizes the critical role of the Components in partnering with the private sector to develop, implement, and promote standards and conformity assessment procedures. To that end, this policy recognizes the need for a flexible and decentralized approach to the Department's standards and conformity assessment activities. This policy is intended to preserve such an approach while ensuring and enhancing the effectiveness of those activities.

- A. The Department uses² voluntary consensus standards that are developed or adopted by voluntary consensus standards bodies in lieu of government-unique standards in its procurement and regulatory activities, except where inconsistent with law or otherwise impractical.
- B. In carrying out (A) under this subsection, the Department participates with voluntary, private sector, consensus standards bodies and, when such participation is in the public interest and is compatible with DHS mission, authorities, priorities, and budget resources, participates with such bodies in the development of standards.
- C. Components that have been identified in statute, federal regulations, administration policy, have a mission to, or have established a priority for adopting, updating, developing, or promulgating standards or conformity assessment procedures, or both, have a CSE with the qualifications and responsibilities as outlined in Section 14 of OMB A-119.
- D. CSE is the collateral duty of a senior-level official who is broadly familiar with the Component's use of standards and conformity assessment activities in support of its mission. In the context of the duties described in Section IV. J. above, the CSE functions are limited to reporting, promoting, and supporting its Component's use of standards and participation in standards bodies, as well as coordinating with the DHS Standards Executive.

VI. Questions

Address any questions or concerns regarding this Directive to USST.



Chip Fulghum
Deputy Under Secretary for Management and
Chief Financial Officer



Date

² The "use of standards by Federal agencies" is defined and discussed in Section 5 of OMB A-119