

ADOPTION OF DHS DIRECTORATE STANDARDS AS DEPARTMENT OF HOMELAND SECURITY (DHS) NATIONAL STANDARDS

1. Purpose

This directive provides general guidance and instructions for adopting all standards currently in use by DHS Organizational Elements as 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 equipment, processes, and procedures of First Responder units; and a lack of effectiveness and efficiency in activities designed to ensure the security of U.S. borders and infrastructures. The DHS National Standards adoption process has been established as a means of assisting local, state, and federal procurement and regulatory officials and manufacturers in making procurement decisions and in developing regulatory requirements. A comprehensive database of standards, including standards currently in use within DHS, will also be an invaluable tool for evaluating the potential impact of proposed new DHS National Standards and requirements on existing DHS operations. This directive defines procedures to incorporate information on standards, in use within DHS, into DHS' National Standards Database.

2. Scope

This directive applies to all DHS organizational elements.

3. 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.http://ts.nist.gov/ts/htdocs/210/nttaa/pubs/fr-omba119.pdf>>.

D. DHS Management Directive 0010.1, Management Directives System and DHS Announcements and Enclosures.

4. Definitions

A. **AS-S&T:** Assistant Secretary for Planning, Programs and Budget (PPB), Science and Technology Directorate (S&T).

B. **Consensus Standards:** Standards developed or adopted by voluntary consensus standards bodies. Such standards will be considered and adopted in a manner consistent with DHS' obligations under the World Trade Organization (WTO) Agreement and under the National Technology Transfer and Advancement Act (NTTAA), P.L. 104-113.

C. **Control Number (CN):** A number used to identify and track a document through the adoption process. The Control Number is replaced by the Identification Number (ID) if the standard is adopted.

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 regarding equipment for the nation's First Responders.

E. **DHS National Standards Database:** Electronic repository for information on all DHS National Standards and information related to them.

F. **Identification Number (ID):** A *permanent* number assigned to a document upon its adoption as a DHS National Standard.

G. **National Standard Form-100 (Form-100):** DHS form used for the approval, review, and revision of a DHS National Standard.

H. **National Standard Form-110 (also known as One-Page Citation (OPC) or Form-110).** A one-page-citation of an existing standard that contains: the DHS Title and Identification Number; date of issuance; name of developer/owner of the standard; developer/owner's number or other identification method for the standard; scope of the standard in relationship to DHS issues; and information on other relevant publications.

I. **Organizational Element (OE):** DHS organizational element as defined in Management Directive 0010.1.

J. **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.

- K. **Standards Coordinator (SC):** DHS representative who manages and administers the DHS National Standards Program.
- L. **Standards Submitter (SS):** Person or organization that recommends a standard for adoption as a DHS National Standard.
- M. **Standards Acceptance Package (SAP):** File containing: a copy of the proposed DHS National Standard and other pertinent documents (e.g., correspondence from the submitter and stakeholders); National Standard Form-110; and a completed National Standard Form-100 showing approval/disapproval by the Standards Coordinator.
- N. **Voluntary Consensus Standards Body:** A body (either domestic or international) that 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: (1) openness; (2) balance of interests; (3) due process; (4) an appeals process; and (5) consensus, which requires general agreement among interested parties, but not necessarily unanimity, and includes a process for attempting to resolve objections by interested parties.

5. Responsibilities

- A. **Standards Submitter (SS):** A representative of the OE where the standard is currently in use, who shall be responsible for the following tasks:
1. Identifying and recommending existing OE standards for adoption as DHS National Standards.
 2. Providing supporting information needed for adoption, such as Code of Federal Regulations references to the standard(s), procurement actions where the standard(s) were used, or level of acceptance by the relevant user communities, organizations, training institutions, and government agencies.
 3. Completing National Standard Form-100.
 4. Ensuring that appropriate security measures are followed for handling classified materials associated with the submission.
- B. **Standards Coordinator (SC):** A person who shall be responsible for the following tasks:
1. Assigning Control Numbers (CNs) and tracking the location and coordination status of proposed DHS National Standards.

2. Preparing Standards Acceptance Packages (SAPs).
3. Advising the Standards Portfolio Manager (SPM) as to whether existing DHS OE standards are appropriate for adoption as DHS National Standards.
4. Assigning Identification Number (IDs) to adopted standards.
5. Maintaining a file of adopted standards, including documentation on their adoption and publication, subsequent revisions, and modifications.
6. Archiving “controlled” copies of all adopted DHS National Standards.
7. Ensuring that appropriate security measures are followed for handling classified materials.

C. **S&T Standards Portfolio Manager (SPM)**: A person who shall be responsible for the following tasks:

1. Ensuring that Control Numbers (CNs) and Identification Numbers (IDs) have been assigned, as appropriate, by the Standards Coordinator.
2. Recommending standards currently in use by DHS OEs to the AS-S&T for adoption as DHS National Standards.
3. Overseeing activities of the DHS National Standards Program and developing and maintaining the DHS National Standards Database.
4. Ensuring that appropriate security measures are followed for handling classified materials.

D. **Assistant Secretary Science & Technology, Planning, Programs and Budget**: The incumbent of this office shall be responsible for the following tasks:

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

6. Policy & Procedures

A. **Policy**:

The DHS National Standards Program is designed to assist in identifying, creating, and cataloging all standards 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 developing regulatory requirements. Standards of various kinds (e.g., equipment, components, or systems) can be accepted under the auspices of this program. Appropriate security policies and procedures will be in place and effectively implemented for handling any classified materials.

B. General Adoption Procedures:

1. The Standards Portfolio Manager (SPM) shall oversee the standards program.
2. Control Numbers (CNs) will be assigned to each proposed standard and will take the following format “CN-AAAA-#### (YYYY-MM)” where the designation “CN-” will be followed by a two to four letter designation indicating the OE where the standard is currently in use. (See Appendix A for a list of the designations.) For example, “BTS” will be used for standards that are currently in use within organizations under Border and Transportation Security. This will be followed by a four-digit sequential number that is the next number available on the list of controlled numbers. The last 6-digit segment of the control number will indicate the time of submission (calendar year followed by month in the format (YYYY-MM)).
3. Identification Numbers (IDs) will take the following format “AAAA-#### (YYYY). The format for IDs will be similar to the format for control numbers with the following differences. First, the “CN-“ designation is deleted. The OE designation remains the same unless changed during the review process. Second, the sequential number will be the next available number in the DHS National Standards Database. Finally, the last 4-digit segment of the ID will indicate the year of the standard’s most recent adoption by DHS. 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.
4. The DHS National Standards Database will be used to track and maintain information on active standards, and archive deactivated standards. Control Numbers (CNs) of standards that were not adopted and Identification Numbers (IDs) of adopted standards 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 DHS National Standards. A file of these documents will be maintained in accordance with the records retention procedures defined in Section G below.
5. Appropriate security policies and procedures will be in place and implemented for handling classified materials.

C. Procedures for Adopting Existing DHS OE Standards:

1. All existing DHS OE standards proposed for adoption as DHS National Standards will be submitted by a representative of that OE to the Standards Coordinator, Science and Technology Directorate, Department of Homeland Security, for processing as DHS National Standards.
2. The Standards Coordinator (SC) verifies that a proposed DHS National Standard is currently in use within a DHS OE and is suitable for adoption as a DHS National Standard. If the standard is not suitable, the SC indicates disapproval on Form-100, adds a brief reason for rejecting/ requesting modification, signs and dates the Form, and sends it back to the submitter with instructions for appropriate action.
3. If acceptable, the Standards Coordinator creates a Control Number (CN) for the document and records the CN on Form-100.
4. The Standards Coordinator places an entry for the proposed standard in the DHS National Standards Database and creates a Standards Acceptance Package (in electronic format, if feasible.)
5. The Standards Coordinator updates, signs, and dates Form-100; prepares the Standards Acceptance Package (SAP) including the One Page Citation; and sends the SAP to the Standards Portfolio Manager.
6. The Standards Portfolio Manager (SPM) reviews the package for completeness and accuracy.
7. If the Standards Portfolio Manager (SPM) finds that the Standards Acceptance Package (SAP) is acceptable and the standard is appropriate for adoption as a DHS National Standard, the SPM updates, signs, and dates Form-100. The SPM then sends the SAP to the AS-S&T.
8. If the Standards Portfolio Manager (SPM) finds that the Standards Acceptance Package (SAP) is not acceptable, the SPM sends the SAP back to the Standards Coordinator with instructions for appropriate action.
9. When the Standards Acceptance Package (SAP) is acceptable, the Standards Portfolio Manager forwards the SAP to the AS-S&T; the AS-S&T, or his delegate, will then review the SAP.
10. If the AS-S&T, or his delegate, approves the Standards Acceptance Package (SAP), the AS-S&T, or his delegate, will sign and date Form-100 indicating approval and will send the SAP, with the signed Form, back to the Standards Portfolio Manager.
11. If the AS-S&T, or his delegate, finds that the Standards Acceptance

Package (SAP) is not acceptable, the AS-S&T, or his delegate, will sign and date Form-100 indicating disapproval and send the signed Form, the SAP, and any appropriate instructions back to Standards Portfolio Manager (SPM). The SPM will then work with the Standards Coordinator and the Standards Submitter to take appropriate action, including making any modifications that the AS-S&T has requested to the SAP, prior to resubmitting the SAP for approval.

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 modification or disapproval notation, the SC will record or update the standard's status in the DHS National Standards Database, and will keep a copy of the package.
2. The Standards Coordinator will then notify the Standards Submitter and provide the submitter any of the following that apply: a copy of the document, including its Control Number (CN); suggestions for changes, and/or reasons for rejection.
3. The Standards Submitter can make the suggested changes if acceptable, and request the document be sent directly to those who made the suggestions for rapid reconsideration.
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 (30) days of being notified that the standard has been rejected for consideration as a DHS National Standard, the standard will be withdrawn from further consideration. However, the standard may be resubmitted by the SS at any time for reconsideration. The SS should identify the standard as a resubmission.

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

1. After completing the adoption process, the Standards Coordinator receives the approved Standards Acceptance Package, assigns an ID to the newly adopted DHS National Standard, and keeps a copy of the package.
2. At least biannually, the Standards Coordinator will send a list of newly adopted DHS National Standards to the Government Printing Office for publication in a Federal Register Notice. The Notice will contain the name of the standard, the Identification Number (ID), and other appropriate information.

F. **Special Procedures for Standards in Use by Multiple DHS OEs:**

1. Proposed DHS National Standards, which are in use by multiple DHS OEs, may be given additional citations via preparation of multiple One Page Citations by the Standards Coordinator.
2. Upon request for a multiple citation by two or more OEs, the Standards Coordinator (SC) will create multiple One Page Citations, each with a unique Control Number (CN) that reflects each DHS user OE. The SC will include copies of each OPC in the Standards Acceptance Package.
3. Upon approval of the standard, the Standards Coordinator will assign Identification Numbers (IDs) that reflect each user OE and will enter the appropriate information in the DHS National Standards Database.

G. **Records Retention Procedures:**

1. A copy of all active standards will be maintained.
2. Standards Acceptance Packages for adopted DHS National Standards will be kept for a period of fifteen (15) years past the date when their use as a DHS National Standard is terminated.
3. A file of all proposed but rejected standards and deactivated DHS National Standards will be maintained for a period of 10 years past the rejection/deactivation date.
4. All records will be maintained in accordance with DHS MD 0550.1: Records Management.

H. **Questions or concerns** regarding this directive should be addressed to the DHS S&T Portfolio Manager.

APPENDIX A

The following acronyms will be used to identify DHS OEs in the DHS National Standards Database:

Border and Transportation Security Directorate	BTS
Bureau of Citizenship and Immigration Services	CIS
Emergency Preparedness and Response Directorate	EPR
Information Analysis and Infrastructure Protection Directorate	IAIP
Management Directorate	MGT
Science and Technology Directorate	S&T
Office of Inspector General	OIG
Office of Private Sector Liaison	OPSL
Office of State and Local Government Coordination	SLGC
United States Coast Guard	USCG
United States Secret Service	USSS