Description of document:	Department of Homeland Security (DHS) Executive Correspondence Handbook, Office of the Executive Secretary, 2015
Requested date:	19-January-2017
Released date:	13-March-2017
Posted date:	18-June-2018
Source of document:	FOIA Request Chief FOIA Officer The Privacy Office U.S. Department of Homeland Security 245 Murray Lane SW STOP-0655 Washington, D.C. 20528-0655

U.S. Department of Homeland Security
Washington, DC 20528

Homeland Security

March 13, 2017

SENT BY ELECTRONIC MAIL

Re: **2017-HQFO-00249**

This is the final response to your Freedom of Information Act (FOIA) request to the Department of Homeland Security (DHS), dated and received by this office on January 19, 2017. You are seeking digital/electronic copy of the DHS Executive Secretariat Handbook.

A search of the Executive Secretariat office for documents responsive to your request produced a total of 130 pages. Of those pages, I have determined that 122 pages of the records are releasable in their entirety and 8 pages are partially releasable pursuant to Title 5 U.S.C. § 552 (b)(6), and FOIA Exemptions, 6.

Enclosed are 130 pages with certain information withheld as described below:

FOIA Exemption 6 exempts from disclosure personnel or medical files and similar files the release of which would cause a clearly unwarranted invasion of personal privacy. This requires a balancing of the public's right to disclosure against the individual's right to privacy. The privacy interests of the individuals in the records you have requested outweigh any minimal public interest in disclosure of the information. Any private interest you may have in that information does not factor into the aforementioned balancing test.

You have a right to appeal the above withholding determination. Should you wish to do so, you must send your appeal and a copy of this letter, within 90 days of the date of this letter, to: Privacy Office, Attn: FOIA Appeals, U.S. Department of Homeland Security, 245 Murray Lane, SW, Mail Stop 0655, Washington, D.C. 20528-0655, following the procedures outlined in the DHS FOIA regulations at 6 C.F.R. Part 5 § 5.8. Your envelope and letter should be marked "FOIA Appeal." Copies of the FOIA and DHS FOIA regulations are available at www.dhs.gov/foia.

If you need any further assistance or would like to discuss any aspect of your request, please contact the analyst below who processed your request and refer to **2017-HQFO-00249**.

You may send an e-mail to foia@hq.dhs.gov, call 202-343-1743 or toll free 1-866-431-0486, or you may contact our FOIA Public Liaison in the same manner. Additionally, you have a right to right to seek dispute resolution services from the Office of Government Information Services (OGIS) which mediates disputes between FOIA requesters and Federal agencies as a non-exclusive alternative to litigation. If you are requesting access to your own records (which is considered a Privacy Act request), you should know that OGIS does not have the authority to handle requests made under the Privacy Act of 1974. You may contact OGIS as follows: Office of Government Information Services, National Archives and Records Administration, 8601 Adelphi Road-OGIS, College Park, Maryland 20740-6001, e-mail at ogis@nara.gov; telephone at 202-741-5770; toll free at 1-877-684-6448; or facsimile at 202-741-5769.

If you need to contact our office concerning this request, please call 866-431-0486 and refer to **2017-HQFO-00249**.

Sincerely,

Ayanna Carr
FOIA Program Specialist

Enclosure(s): As Stated, 130 pages

Executive Correspondence Handbook

Office of the Executive Secretary

Version 1, May 2015

Homeland Security

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Contents

MESSAGE FROM THE SECRETARY

Earlier this year this Department was recognized by the Center for Plain Language for concise writing in government. As a personal fan of concise communication, I want to build on that terrific honor.

This Handbook serves as the principal guide for the preparation and dissemination of written communications, both internal and external. Clarity, transparency, and the Department's responsiveness to Congress are among my highest priorities.

I expect and direct the entire Department to use this guide to prepare documents that are clear, consistent, responsive, and in compliance with the *Plain Writing Act of 2010*. I have asked the Executive Secretary to ensure that the style guidelines outlined in this Handbook are adopted and implemented DHS-wide.

I thank the Executive Secretary and her staff for their work in preparing this Handbook. I also thank the Component Executive Secretariats for their feedback in the preparation of this Handbook.

Sincerely,

Jeh Charles Johnson

SECTION 1: INTRODUCTION

The Department of Homeland Security (DHS) relies on effective communication and an overall unity of effort to carry out its vital missions. In support of this objective, the Office of the Executive Secretary's (ESEC) role is to ensure all written communication is consistent and within the parameters of standards expected by and worthy of a Cabinet-level official.

The Executive Correspondence Handbook provides all DHS Components with an overview of ESEC, offers guidance on ways to successfully communicate with Department leadership, and outlines ESEC's role in facilitating communications between the Components and the Secretary and Deputy Secretary. This includes communication standards, style rules, vetting and clearance requirements, and overall expectations for all documents prepared within the Department.

This Handbook is intended to guide anyone who prepares written communication throughout DHS. Included within are helpful points of contact, templates, and style guidance. The style guidance outlines the Department's preferences with regard to format and syntax, and provides direction on how to ensure that documents are written in accordance with the *Plain Writing Act of 2010*. Existing Component style guides, manuals, and handbooks should be updated, and guidance should be issued instructing that all materials adhere to the DHS standards.

As the Department's missions continue to evolve, and aspects of our communication procedures adapt, this Handbook will be updated on the ESEC webpage on DHS Connect. Though the standards outlined in this Handbook must be met, it is a living document and we welcome your feedback on how we can continue to improve its effectiveness. For additional resources, please visit the ESEC webpage on DHS Connect.

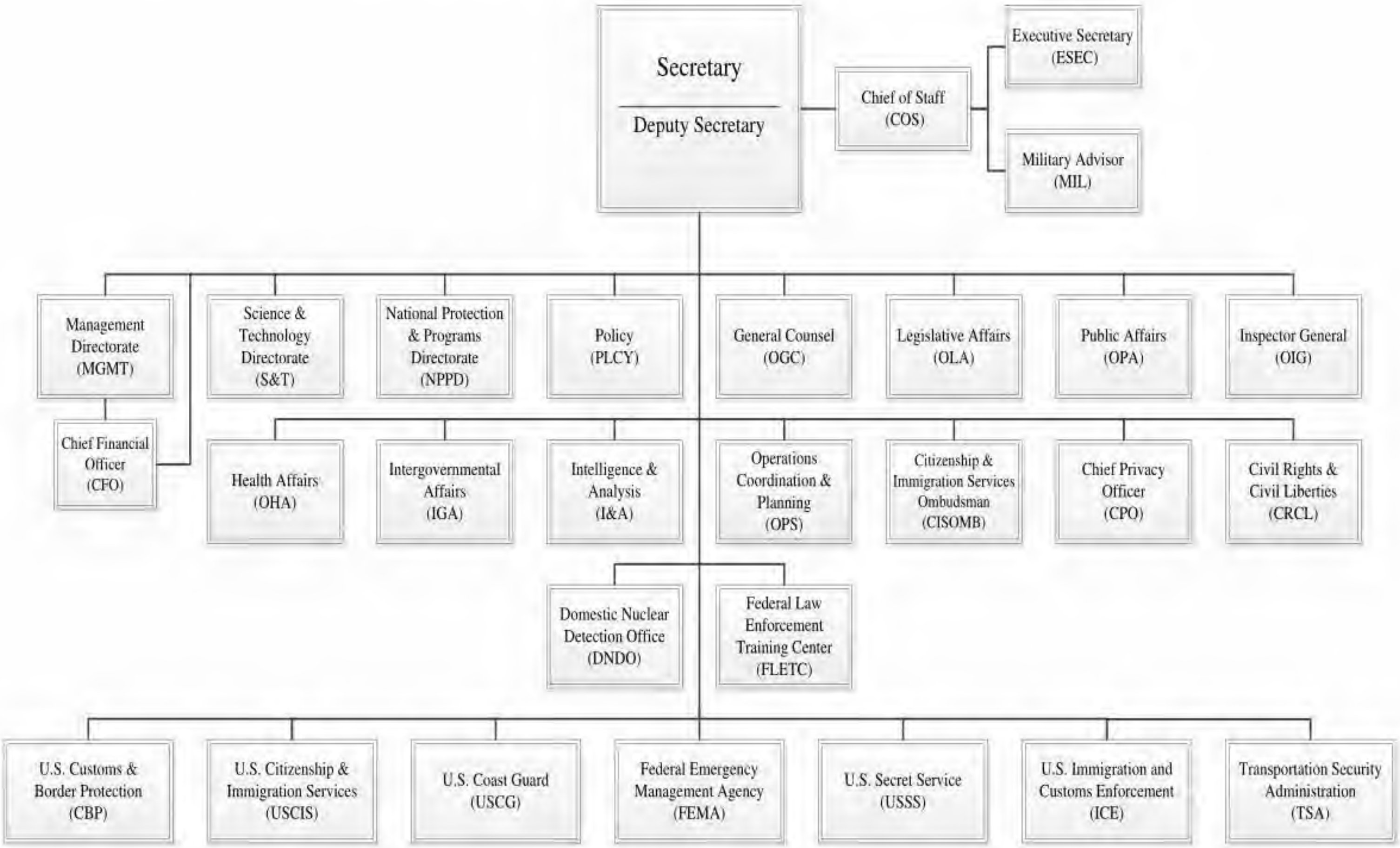
Sincerely,

Kim O'Connor

Kim O'Connor
Executive Secretary

SECTION 1.1: DHS COMPONENTS

(Organizational Identifier in Parenthesis – Expanded List in Appendix B)



LEADERSHIP

DHS is headed by a Presidentially appointed and Senate confirmed Secretary. The Secretary of Homeland Security (in coordination with federal, state, local, tribal, international, and private sector partners) oversees DHS efforts to counter terrorism and enhance security, secure and manage the Nation's borders while facilitating trade and travel, enforce and administer the Nation's immigration laws, safeguard and secure the Nation's cyberspace, build resilience to disasters, and provide essential support for national and economic security.

VISION/MISSION

DHS's vision is to ensure a homeland that is safe, secure, and resilient against terrorism and other hazards. Three key concepts — security, resilience, and customs and exchange — form the foundation of our national homeland security strategy designed to achieve this vision. These key concepts drive broad areas of activity that the Quadrennial Homeland Security Review process defines as homeland security missions. These missions, outlined below, detail what it means to prevent, protect, respond, and recover, as well as to build in security to ensure resilience and to facilitate customs and exchange.

Prevent Terrorism and Enhance Security

Protecting the American people from terrorist threats is our founding principle and our highest priority. DHS's counterterrorism responsibilities focus on three goals:

- Prevent terrorist attacks;
- Prevent the unauthorized acquisition, importation, movement, or use of chemical, biological, radiological, and nuclear materials and capabilities within the United States (U.S.); and
- Reduce the vulnerability of critical infrastructure and key resources, essential leadership, and major events to terrorist attacks and other hazards.

Secure and Manage the Nation's Borders

DHS secures the Nation's air, land, and sea borders to prevent illegal activity while facilitating lawful travel and trade. DHS's border security and management efforts focus on three interrelated goals:

- Effectively secure U.S. air, land, and sea points of entry;
- Safeguard and streamline lawful trade and travel; and
- Disrupt and dismantle transnational criminal and terrorist organizations.

Enforce and Administer Immigration Laws

DHS is focused on smart and effective enforcement of U.S. immigration laws while streamlining and facilitating the legal immigration process. The Department has fundamentally reformed immigration enforcement, prioritizing the identification and removal of criminal aliens who pose a threat to public safety and targeting employers who knowingly and repeatedly break the law.

Safeguard and Secure Cyberspace

DHS has the lead for the Federal Government in securing civilian government computer systems, and works with federal, state, local, tribal, and private sector partners to secure critical infrastructure and information systems. The Department works to:

- Analyze and reduce cyber threats and vulnerabilities;
- Distribute threat warnings; and
- Coordinate the response to cyber incidents to ensure that our computers, networks, and cyber systems remain safe.

Ensure Resilience to Disasters

DHS provides a coordinated, comprehensive federal response in the event of a terrorist attack, natural disaster, or other large-scale emergency while working with federal, state, local, tribal, and private sector partners to ensure a swift and effective recovery effort. The Department builds a ready and resilient nation through efforts to:

- Bolster information sharing and collaboration;
- Provide grants, plans, and training to our homeland security and law enforcement partners; and
- Facilitate rebuilding and recovery along the Gulf Coast.

CONTACTING DHS

Telephone

Operator Number:	202-282-8000
Comment Line:	202-282-8495

Mail

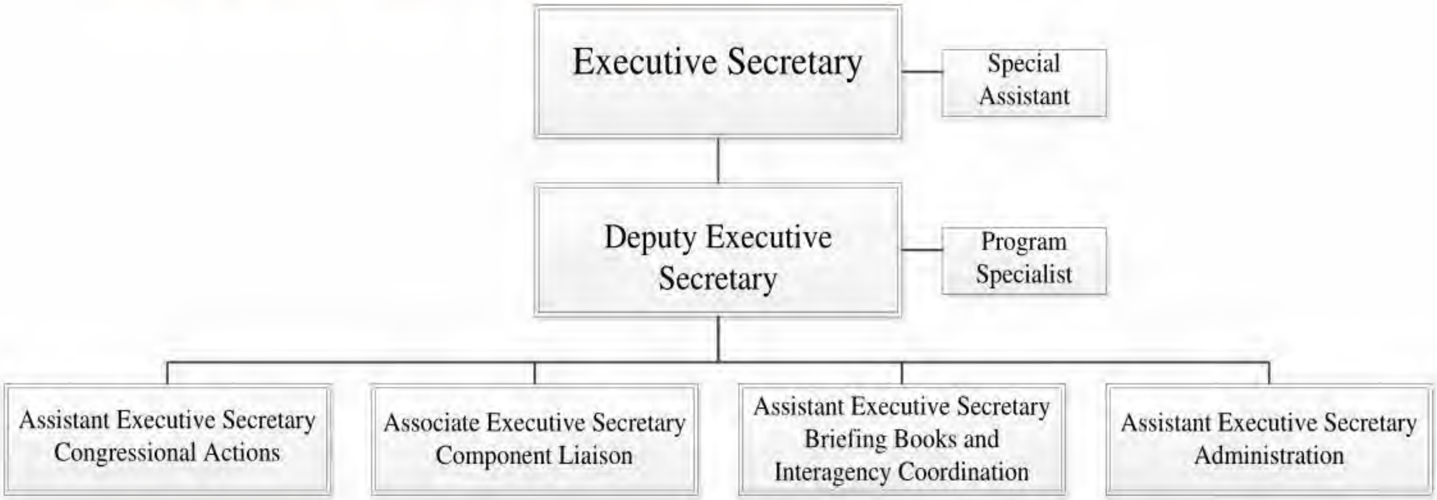
The Secretary:

The Honorable Jeh Charles Johnson
Secretary of Homeland Security
Washington, DC 20528

The Deputy Secretary:

The Honorable Alejandro N. Mayorkas
Deputy Secretary of Homeland Security
Washington, DC 20528

SECTION 1.2: ESEC ORGANIZATION



LEADERSHIP

ESEC is headed by the Executive Secretary and the Deputy Executive Secretary.

MISSION

ESEC's mission is to provide outstanding support, analysis, communication services, and general assistance to the Executive Leadership. Given the sensitivity of homeland security issues, it is critical for the Department to articulate its policies and positions to target audiences effectively and efficiently. ESEC's audiences include the White House, Members of Congress, intergovernmental officials, state and local officials, the private sector, foreign officials, and the American public.

ORGANIZATION

ESEC consists of four principal sections: Component Liaison, Briefing Books and Interagency Coordination (BBIC), Congressional Actions (CA), and Administration.

Component Liaison

The Component Liaison is comprised of the Internal Liaison team, the External Liaison team, and the Mail Analysis and Records Management team. These teams manage incoming mail addressed to the Secretary and Deputy Secretary, as well as letters from Members of Congress that are addressed to the Assistant Secretary for Legislative Affairs. The Internal and External Liaison teams are responsible for ensuring that internal and external written communication is fully vetted and consistent with current DHS policy and standards before seeking the appropriate level of approval and signature.

ESEC's Component Liaison also manages the Department's reports to authorizing congressional committees. The Office of the Chief Financial Officer (OCFO) is responsible for developing reports to congressional appropriations committees and provides appropriations reports to ESEC for signature.

Briefing Books and Interagency Coordination

The BBIC team is responsible for providing the Secretary and Deputy Secretary with a daily briefing book which contains read-ahead material for scheduled meetings, events, and conferences. Working closely with the Executive Leadership schedulers, BBIC requests briefing materials from the subject matter experts, edits the materials as appropriate, and incorporates them into a comprehensive book the evening prior in preparation for the day ahead.

Within BBIC, the White House and Interagency Actions (WHIA) team manages DHS's relationship with intergovernmental partners, National Security Council (NSC), and the Office of Management and Budget (OMB). The team works with NSC on the Principals Committee (PC), Deputies Committee (DC), and other NSC-led meetings. This team also handles Freedom of Information Act (FOIA) requests.

Congressional Actions

The CA team is responsible for tasking, editing, and clearing written statements and testimony intended for authorizing congressional committees and subcommittees. The CA team manages the review process for written statements associated with DHS witnesses and facilitates clearance through DHS and OMB. The CA team also manages the process associated with responding to Questions for the Record (QFR), issued by authorizing congressional committees and subcommittees as part of the official hearing record.

Administration

The Administration team provides overall support and manages the human capital, budget, and logistics functions for the Executive Leadership and ESEC. This includes short- and long-term strategic planning, human resources and performance management, finance, travel, training, security, reconstitution, property asset management, facilities management, and customer service coordination for effective daily operations. The Administration team is a liaison and primary point of contact for the Management Directorate's (MGMT) Chief Executive Officers.

CONTACTING ESEC

Email

ESEC uses several distribution lists for contacting staff and transmitting materials:

(b)(6) This email distribution list is for transmitting materials or asking questions of the BBIC staff, although ESEC leadership also receives these emails.

(b)(6) This email distribution list is exclusively used by congressional offices for transmitting letters or other congressional materials from a Member of Congress to the Secretary, Deputy Secretary, or Assistant Secretary for Legislative Affairs. Staff members within the Office of Legislative Affairs (OLA) and ESEC receive these inquiries and ensure that they are handled expeditiously. If a Component official receives a letter from a Member of Congress addressed to the Secretary, Deputy Secretary, or Assistant Secretary for Legislative Affairs, or on which the Secretary or Deputy Secretary is copied (or cc'd), please email it to this address immediately for proper handling.

(b)(6) In keeping with the government-wide practice adopted by the Council of Federal Executive Secretariats, this is DHS's organizational email address. This was originally created for use by other government agencies and is monitored by ESEC staff. Please only use this email address if no other email address is appropriate.

DHSPlainWriting@hq.dhs.gov: This email distribution list is available for DHS employees and the general public to submit concerns or questions with regard to the plain language initiative.

(b)(6) This email distribution list reaches members of ESEC's Administration team and should be used for any Executive Leadership or ESEC administrative concern.

(b)(6) This email distribution list includes members of the CA team and should be used for testimony and QFR-related matters.

(b)(6) These email distribution lists are used primarily for matters relating to correspondence, decision or information memos, rules, awards, and other documents for Secretary or Deputy Secretary signature.

(b)(6) This email distribution list includes the members of the Mail Analysis and Records Management Team, a unit within ESEC's Component Liaison. Any questions related to incoming hard-copy mail, periodicals, or the Secretary's records management can be sent to this email address.

(b)(6) This email address is used for inquiries related to Congressional Reports that ESEC is clearing or submitting to the Executive Leadership for review and signature.

Telephone or Fax

ESEC main: 202-282-8221 (8:30 a.m. - 6:15 p.m. EST)
ESEC fax: 202-282-1976

On the Web

DHS Intranet: http://dhsconnect.dhs.gov/org/comp/esec/Pages/default.aspx

Location/Mail

ESEC is physically located in Building 5 of the Nebraska Avenue Complex (NAC).

ESEC's mailing address:

Office of the Executive Secretary
U.S. Department of Homeland Security
MS 0525
Washington, DC 20528

SECTION 2: ESEC PROCESSES AND PRODUCTS

This section outlines the processes associated with the principal products that ESEC provides to the Secretary and Deputy Secretary. These include materials for signature, decision, or information. Components should refer to this section when preparing materials for the Secretary's and/or Deputy Secretary's consideration. The memorandum from the COS, *Secretary's Guidance on Responding to Members of Congress,* may also be referenced (Appendix C).

When submitting materials intended for the Executive Leadership, it is important to build in extra time for processing and appropriate review, which will result in a more comprehensive and effective product.

SECTION 2.1: CORRESPONDENCE

CONTROLLING CORRESPONDENCE

ESEC receives and processes incoming correspondence through several modes.

- Correspondence received by fax, the U.S. Postal Service, and citizen mail (received by and forwarded from the White House) is sent to ESEC's Mail Analysis and Records Management team for review.
- Items addressed to the Secretary, Deputy Secretary, and the Assistant Secretary for Legislative Affairs are forwarded to ESEC Component Liaison for analysis. These items are controlled in the Intranet Quorum (IQ) correspondence tracking system and tasked to the appropriate Component for response.
- Items addressed to specific Components are forwarded to those Components to be handled as appropriate.

Component Liaison also receives inquiries directly through *CongresstoDHS*, an email distribution list designed specifically for congressional intake. Additionally, the Executive Leadership receives mail directly and forwards it to ESEC's Component Liaison for review and action. These items are controlled in IQ and tasked to the appropriate Component for response.

ESEC's Component Liaison manages letters and other documents addressed to the Secretary, Deputy Secretary, and congressional letters addressed to the Assistant Secretary for Legislative Affairs. Generally, these originate from:

- Members of Congress;
- Various officials (e.g., corporate CEOs, Airport Authorities, federal agencies, foreign officials, etc.);
- Governors, mayors, or other state, local, and tribal officials;
- Ambassadors, Ministers, diplomats, and other international counterparts;
- Private sector and non-governmental organizations executives; and
- Citizen mail addressed to the Secretary or Deputy Secretary.

ESEC's Component Liaison analyzes every letter and determines:

- Which DHS Component will have the lead;
- How the letter will be handled;
- If a response will be required; and
- Which DHS/Component official will be the appropriate signatory.

ESEC TASKING

Using an ESEC template in IQ, ESEC will task correspondence to the lead Component in one of the following manners:

Prepare For	Product	Due to ESEC	Cover Memo Required?
Secretary Signature	Fully cleared final draft[1]	8 business days	Yes
Deputy Secretary Signature	Fully cleared final draft	8 business days	Yes
Front Office[2] Clearance/ Component Head to Sign	Fully cleared final draft	8 business days	Yes
Assistant Secretary OLA Signature	Fully cleared final draft	8 business days	Yes
Assistant Secretary IGA Signature	Fully cleared final draft	8 business days	Yes
Component Head Signature Reply Direct and cc:	Signed/dated response	10 business days	No
Component Reply Direct and cc:	Signed/dated response	10 business days[3]	No
Reply Direct	Signed/dated response	10 business days	No
Handle As Appropriate	Appropriate action taken	10 business days	No

The number of days allotted to Components for response reflects the DHS standard. If Executive Leadership asks for the response to be completed sooner, ESEC will highlight the earlier deadline in the tasking.

Components may also receive "Handle as Appropriate" tasks. Components have 10 business days to review, determine if a response is warranted, take appropriate action, and inform ESEC of the action taken. For these tasks, Components may respond in writing (electronically or in hard-copy) or by telephone.

In tasking a lead Component, ESEC will also send IQ "information copies" to other Components that may have equities and identify the Components that ESEC anticipates will need to clear the draft. Components are responsible for obtaining clearance from every Component that has equities in the response, even if they are not identified by ESEC in the IQ workflow.

DETERMINING SIGNATURE LEVEL

ESEC reviews inquiries from Members of Congress, state and local leadership, or various officials and determines the signature level based on the subject matter addressed and the originating official. Letters may be signed by the Secretary, Deputy Secretary, Assistant Secretary for

[1] "Fully cleared final draft" – refers to a response has been cleared (at the COS-level or higher) through the drafting Component, the required coordinating Components (OGC, PLCY, and MGMT), and additional equitable Components.

[2] "Front Office" as referenced in IQ, refers to the Offices of the Secretary, Deputy Secretary, and COS.

[3] 15 days is allowed for response to citizen mail.

Legislative Affairs, Assistant Secretary of Intergovernmental Affairs, or Component Heads. When there are multiple signatories on the incoming letter, the signing official for responses generally defaults to the highest-level DHS official, as determined by ESEC.

PREPARING AND SUBMITTING DRAFT RESPONSES

In support of the Secretary's commitment to being responsive, the standard is to draft, clear, sign, and transmit a response within 10 business days of receiving the originating letter. For responses that will be signed by the Secretary, Deputy Secretary, or the Assistant Secretary for Legislative Affairs, Components have eight business days to draft a response, request and obtain clearance from Components with equities (following the reconciliation of any edits provided), and provide the cleared, final draft, along with a cover memo, to ESEC.

The remaining two business days are reserved for Executive Leadership clearance, review, and approval or signature. Given the priority and expedited turn-around time, it is important for Component Executive Secretariats to accept workflows tasked through IQ without delay and begin working on these actions immediately. If the tasked Component determines that the subject matter does not fall within their purview, they must notify ESEC immediately (not to exceed 24 hours) to request a transfer.

Following ESEC's tasking, Components are responsible for preparing an initial draft that is in an appropriate tone and at a level of responsiveness. Responses must be in accordance with the DHS Executive Correspondence Handbook, concise, and well-written with no jargon or overuse of acronyms.

Interagency coordination will be obtained by the drafting Component unless notified otherwise.

Coordination is the exchange of information between or among Components at a subject matter expert-level or higher. Through early coordination, cross-cutting intra-departmental issues are fully represented and any concerns that may exist can be resolved or appropriately forwarded for resolution at a higher level. Coordination—no matter how thorough—does not replace the need for clearance.

Clearance is the process by which relevant senior Component leadership, at the COS-level or above, reviews and concurs with materials intended for Executive Leadership review.

COVER MEMORANDA

Draft responses assigned for Executive Leadership review and clearance require a cover memo from the drafting Component Head. Cover memos do not have an approval line and are only needed for correspondence. These memos are the Component leadership's opportunity to offer background information on the subject in general or proposed response. The cover memo also notes coordination with, and clearances from, additional Components.

If the response was tasked for a Component Head to sign and requires Executive Leadership clearance prior to signature, the cover memo prepared by the drafting Component should be addressed to the Department's COS, who reviews the responses prior to Component Head signature. Cover memos must always be signed by the Component Head.

ESEC uses "Front Office Clearance/Component Head to Sign" when the subject of the incoming letter, which may be operational in nature or limited in scope, is:

- Particularly sensitive;
- Related to an issue with multiple inquires and requires consistent messaging; or
- Of particular interest to the Executive Leadership.

INTERIM RESPONSES

Components are periodically asked to provide an interim response to congressional letters that require Executive Leadership clearance. If a Component expects that the preparation and subsequent clearance of a draft will exceed the time allotted by ESEC, they are required to prepare an interim response. The interim response is a succinct letter informing the originating Member(s) of Congress that their inquiry was received and a proper response is forthcoming.

When necessary, Components will use the ESEC interim response template to craft this letter and upload it into the IQ workflow for ESEC action. ESEC will review the interim response and forward the letter to the Assistant Secretary for Legislative Affairs for signature. The transmission of an interim response is in support of the Secretary's commitment to being responsive to Congress and does not extend the response's due date.

ESEC SUBMISSION OF DRAFT RESPONSES

Once the draft has been completed and cleared at the Component-level, the draft response and signed cover memo are uploaded in the appropriate IQ workflow and reassigned to ESEC Component Liaison. Upon receipt, ESEC will clear the draft with Executive Leadership Counselors and submit it to the COS for approval.

Letters for Executive Leadership Signature

The Secretary or Deputy Secretary will review the draft response following COS approval. Any questions or concerns are returned to the originating Component for expedited reconciliation. Once approved and signed, the final response is returned to ESEC by attaching the updated draft and reassigning the workflow to ESEC Component Liaison.

Letters for Component Head Signature

Components must take special care to inform their responding offices that ESEC needs to clear the response with the Executive Leadership before the Component may sign the response. The cover memo for proposed responses tasked as "Front Office Clearance/Component Head to Sign" is addressed to the Department's COS. Once reviewed/approved by COS, ESEC will return the approved draft response to the originating Component for final signature and transmittal.

EXECUTIVE AUTOPEN

ESEC uses the executive autopen to sign documents on behalf of the Secretary and Deputy Secretary on rare occasions. Only the Secretary, Deputy Secretary, and the Department's COS may authorize use of an autopen signature and ESEC keeps a record of each use. The autopen is generally used in circumstances where the Secretary or Deputy Secretary have reviewed a document but are unavailable to sign the document personally.

SIGNATURE AND TRANSMITTAL

Executive Leadership Signature/Transmittal

Congressional responses signed by the Executive Leadership are forwarded to the OLA Executive Secretariat for transmittal. Non-congressional responses are mailed by ESEC Component Liaison or provided to the drafting Component if there are special transmittal instructions. An electronic copy of the signed response is uploaded into the IQ workflow and sent to the drafting Component for reference. Once transmitted as appropriate, the response is closed by ESEC.

Component Head Signature/Transmittal

Once signed by the appropriate official, "Front Office Clearance/Component Head to Sign" correspondence is mailed/transmitted by the respective Component Executive Secretariat. ESEC requires the Component to upload a copy of the signed and dated response into the IQ workflow to close the action.

REPLY DIRECT CORRESPONDENCE

ESEC often requests that Components review inquiries from Members of Congress or various officials and "Reply Direct." ESEC assigns the action to the lead Component for a senior Component official's response and signature. Typically these are constituent-based, operational in nature, or pertain to a local issue. This type of correspondence is generally handled by a single Component.

The Component tasked is responsible for signing, dating, and transmitting a "Reply Direct" response. The Component is then required to upload a copy of the signed and dated letter to the IQ workflow, indicate how and when the letter was transmitted in the step notes, and reassign the workflow to ESEC Component Liaison for closeout.

In support of the Secretary's commitment to being responsive to Congress, ESEC "Reply Direct" correspondence is tasked for completion within the same 10 business day timeframe as letters for Executive Leadership clearance; however, ESEC does not need to clear proposed "Reply Direct" responses.

WHITE HOUSE ISSUE-FOCUSED CONGRESSIONAL MAIL

DHS is also tasked with congressional letters addressed to the White House as Office of Records Management (ORM) cases. In these cases, the White House ORM tasks DHS to respond. The identified lead Component prepares a draft, clears it with the appropriate Components, and provides it to ESEC within eight days for Executive Leadership clearance.

The White House often tasks DHS to prepare joint responses with other agencies or to clear responses with the Homeland Security Council before transmitting the response to Congress. ESEC will determine the Component that will be responsible for interagency coordination.

WHITE HOUSE CITIZEN MAIL

The White House Office of Presidential Correspondence, the Office of the First Lady's Correspondence, and the Office of Vice Presidential Correspondence also tasks DHS with responding to agency liaison cases. ESEC reviews these letters, identifies a Component to prepare a response, and tasks it as a "Reply Direct" action.

Components review the White House Citizen Mail to determine if a written response is necessary. If not, the Component will provide ESEC with a clear summary of why no response is needed and include the name and title of the deciding official. ESEC will then inform the White House through the White House Portal System.

If a response is warranted, the Component will prepare a draft, obtain signature at the appropriate leadership level (as determined by the Component), and transmit the response to the citizen within 10 days. Once the Component uploads a copy of the signed and dated response into the IQ workflow, ESEC forwards the response to the White House for final closeout through the official White House Portal System.

Telephonic Closeouts

Components may also handle certain cases with a telephonic response. Typically, telephonic closeouts are used when the citizen's concern has already been addressed. The telephone call is placed to confirm that the citizen's need has been satisfied and to offer any further assistance.

In these cases, Components must document the call, noting the date, the name and title of the DHS employee who initiated the contact, and the name of the individual contacted. The Components will also prepare a short summary of the citizen's concern and the resolution or outcome. Once this summary is uploaded into the IQ workflow, ESEC will send an electronic copy of the telephone call summary to the White House for closeout.

White House Mail

When written responses are necessary, the opening paragraph of the letter must indicate that the letter was forwarded by the White House to DHS for response. For example:

> Thank you for your February 12, 2014 letter to the President regarding expediting the visa issuance process. The White House referred your letter to the Department of Homeland Security for response.
>
> Thank you for your December 19, 2014 email to the White House. Because of the nature of your inquiry, the White House referred your letter to the Department of Homeland Security for response.

Components responding to a letter sent to the White House must ensure that the response is clear, thorough, and polite. **Do not write:** "On behalf of the President," or "On behalf of the Vice President."

CITIZEN MAIL

ESEC receives a significant volume of citizen correspondence addressed to the Executive Leadership. This correspondence is processed in IQ and assigned to a lead Component. Components review the citizen mail to determine if a written response is necessary. If not, the Component provides ESEC with a clear summary of why no response is needed and includes the name and title of the deciding official. If a response is warranted, the Component has

15 business days to prepare a draft, have it signed at the appropriate leadership level (as determined by the Component), and transmit the response.

Not all citizen mail is assigned to Components as a "Reply Direct," as in the case of White House mail. Some citizen mail is assigned as "Handle as Appropriate" or "For Your Information." In these cases, the handling of the action is up to the discretion of the Component. When the correspondence has been reviewed, handled, or distributed as appropriate, the Component notifies ESEC that it may be closed in IQ.

SECTION 2.2: MEMORANDA

FOR THE SECRETARY, DEPUTY SECRETARY, CHIEF OF STAFF, AND EXECUTIVE SECRETARY

ACTION MEMORANDA

Action memoranda seek authorization to implement an initiative or a final decision based on recommendations provided by the requesting official.

How to Prepare

Memoranda for the Executive Leadership must be straightforward and concise, but include enough information for the Secretary, Deputy Secretary, or COS to make an informed decision.

This may include:

- Why a decision should be made;
- Any consequences that may result as an outcome;
- Options or alternatives available;
- Any timeliness issues, if action or implementation is required by a certain date;
- The requesting official's recommendation or a specific course of action; or
- Noted attachments or pertinent background information.

The memo must include information related to DHS or external stakeholders, if appropriate, and state whether the stakeholders support the recommended decision. When possible, limit the memo to two pages.

Extensive background or related documents (a proposed memo from the Secretary to DHS Component Heads or others to implement the decision requested in the memo, for example) may be included with the package. In this case, the memo must note the presence of an attachment as shown in the template.

Action memoranda close with a place for the Secretary, Deputy Secretary, or COS to approve, decline, request modification, or request discussion.

Component-to-Component Coordination

To ensure that the drafting Component prepares an effective product, coordination with relevant DHS Components is strongly recommended. Component-to-Component coordination at the subject matter expert-level is intended to ensure a thorough and comprehensive response to save time in the leadership clearance process.

Clearance

Before submitting to ESEC, the memo must be coordinated between Components. For action memoranda, ESEC requests clearance from coordinating Components as well as from MGMT, the Office of Policy (PLCY), the Office of General Counsel (OGC), and, on occasion, the Office of Intelligence and Analysis (I&A). Clearance must be authorized at the Component COS-level or higher.

Process to Obtain Signature

Once the memo is signed by the Component official, the initiating Component Executive Secretariat transmits the signed and dated memo to ESEC by creating an ESEC workflow in IQ and assigning the action to the ESEC Internal Liaison team. Related attachments or pertinent background information must also be uploaded to the workflow.

When submitting an action memo, Components must allow time for ESEC to review the proposed policy or decision before clearing it with the required and equitable Components and forwarding it to the Executive Leadership Counselors for review. ESEC will return comments and questions to the initiating Component for reconciliation. If the initiating Component needs an action memo to reach the Secretary or Deputy Secretary on an expedited basis, please contact ESEC as soon as possible.

Submission to Executive Leadership

Following approval by the Executive Leadership Counselors, ESEC packages the action memo for final review and approval. Components must allow at least three business days for Deputy Secretary and COS review before the folder reaches the Secretary.

Upon receipt of the memo, the Secretary reviews and determines the best course of action. Following the Secretary's decision, ESEC Component Liaison scans the signed memo and provides it to the initiating Component via IQ.

INFORMATION MEMORANDA

An information memo does not require action or seek a decision. Rather, it is an important mode of communication used to relay information from a Component official to the Secretary, Deputy Secretary, or COS. Information memoranda are generated as a result of a direct tasking from the Executive Leadership or by a Component voluntarily.

Responding to an Executive Leadership Request

Information memoranda can be initiated as a result of a tasking or follow-up request from the Executive Leadership. Once the information request is controlled and tasked, the lead Component has the responsibility to prepare a draft memo, coordinate it with the appropriate Components, and provide the signed and dated version to ESEC via IQ within two business days.

The lead Component must prepare the information memo using the template provided by ESEC. Information memoranda prepared in response to a request will include the below headings:

Purpose: "During our meeting on, you asked..." or "After reviewing X document, you requested...." Information should be clear and concise. Include the date of the request and any other important background.

Context and equities: Respond to the inquiry fully but succinctly. Keep the response at a high level avoiding technical jargon, except when central to the response. The information here must explain concisely the scope of the issue and the DHS context.

Because they are not cleared, information memoranda should not be used to make policy or elicit decisions, even indirectly.

Timeliness: Are there any upcoming decisions or actions that will need to be taken in relation to this subject? If this is not relevant, you may omit this section.

Voluntary Information Memoranda

To provide unprompted information to the Executive Leadership for review, Components may use the voluntary information memo format.

Voluntary information memoranda will be prepared using the template provided by ESEC, and include the below headings:

Purpose: This paragraph should introduce or summarize an important policy development not otherwise available through regular meetings or reports. Or this memorandum may provide information in follow-up to a recent event, such as "To analyze the differences among positions taken with respect to . . ." or "To update you on the status of . . . ."

Context and DHS Equities: The information here must explain, concisely, the relevant issue and the DHS context. Why is it important for the Secretary or Deputy Secretary to learn about this issue? Please provide sufficient commentary/clarification. Because they are not cleared, information memoranda should not be used to make policy or elicit decisions, even indirectly.

Component Coordination: If another Component has significant equities in the subject, please coordinate and indicate the person(s) of the office(s) with which you have coordinated. If this is not relevant, you may omit this section.

Timeliness: Please discuss, if relevant, why it is this timely for the Secretary or Deputy Secretary to learn about now. If this is not relevant, you may omit this section.

To provide a voluntary information memo to the Secretary or Deputy Secretary, the drafting Component must create an IQ workflow and provide a scanned copy of the signed and dated memo. The drafting Component coordinates the voluntary information memo with the appropriate Components prior to submitting to ESEC.

* * * * *

ESEC will provide properly prepared information memoranda to the Secretary, Deputy Secretary, or COS, as appropriate, in a folder. Concurrently, ESEC will provide an electronic copy to the relevant Executive Leadership Counselor(s).

SECTION 2.3: Reports to Congress

Authorization Committee Reports

Authorization reports are sent to the authorizing congressional committees, such as the Senate Homeland Security and Governmental Affairs Committee and the House Committee on Homeland Security. Most DHS Components are required by statute to submit authorization reports to Congress. The frequency of these reports vary — some are due monthly, whereas others may be quarterly, semi-annually, or annually — depending on the Congressional requirement. The process and format requirements are identical for authorization reports. ESEC will generally task reports out 80 business days before they are due to Congress. Components are allowed 40 business days to submit them to ESEC. See Appendix D for further guidance on preparing reports to Congress.

New Authorization Reports

When Congress creates a new reporting requirement, OGC, OLA, or the Component Legislative Affairs office must inform ESEC of the requirement. ESEC will add it to the ESEC tracking schedule and task the appropriate Component to prepare the report.

Appropriations Committee Reports

The MGMT/OCFO manages the review, clearance, approval, signature, and submission of appropriations reports, which are required of DHS Components. MGMT/OCFO only transmits appropriations reports that require the Secretary or Deputy Secretary's signature to ESEC.

Components will send draft appropriations committee reports directly to MGMT/OCFO. ESEC and MGMT/OCFO have agreed that OCFO is responsible for obtaining clearances, including clearance by other Components, the Executive Leadership, and OMB. When the report is ready for the Secretary or Deputy Secretary's signature, MGMT Executive Secretariat forwards the report to ESEC-Reports via IQ. ESEC makes minor edits or formatting changes, if necessary, and then packages the report for final Executive Leadership review and signature.

Following the Secretary's review and signature, ESEC returns the report to MGMT/OCFO for distribution. Once distributed, MGMT/OCFO reassigns the IQ workflow to ESEC to closeout.

Government Accountability Office Reports

Government Accountability Office (GAO) reports are emailed to ESEC by the GAO Managing Director for Homeland Security and Justice. ESEC saves the reports and files them appropriately.

Office of Inspector General Reports

Office of Inspector General (OIG) reports are emailed to ESEC by the OIG Office of Public Affairs. ESEC saves the reports and files them appropriately.

CLEARANCE AND TRANSMITTAL OF REPORTS

Department Clearance of Reports

The lead Component sends a current, coordinated draft report to ESEC via IQ. ESEC sends the draft report to all DHS Components for review and clearance through IQ. The Components have 10 business days to review. OGC and OLA are the only Components whose affirmative clearance is required for ESEC to move a congressional report forward.

ESEC will forward any edits received to the originating Component for adjudication through IQ. Adjudication must be completed within three business days. The Components will not be expected to review the adjudicated draft unless there are substantive changes.

Because reports are often long, ESEC will review the draft report and make edits as needed, concurrent with Component clearance.

Leadership Clearance

Component-cleared draft reports are then forwarded to the Executive Leadership Counselors for clearance. The process allows around five business days for their review. If the Executive Leadership has edits on a congressional report, ESEC returns the report to the originating Component for adjudication. The report is returned in both redline and clean versions to the Executive Leadership once edits/comments have been adjudicated.

OMB Clearance

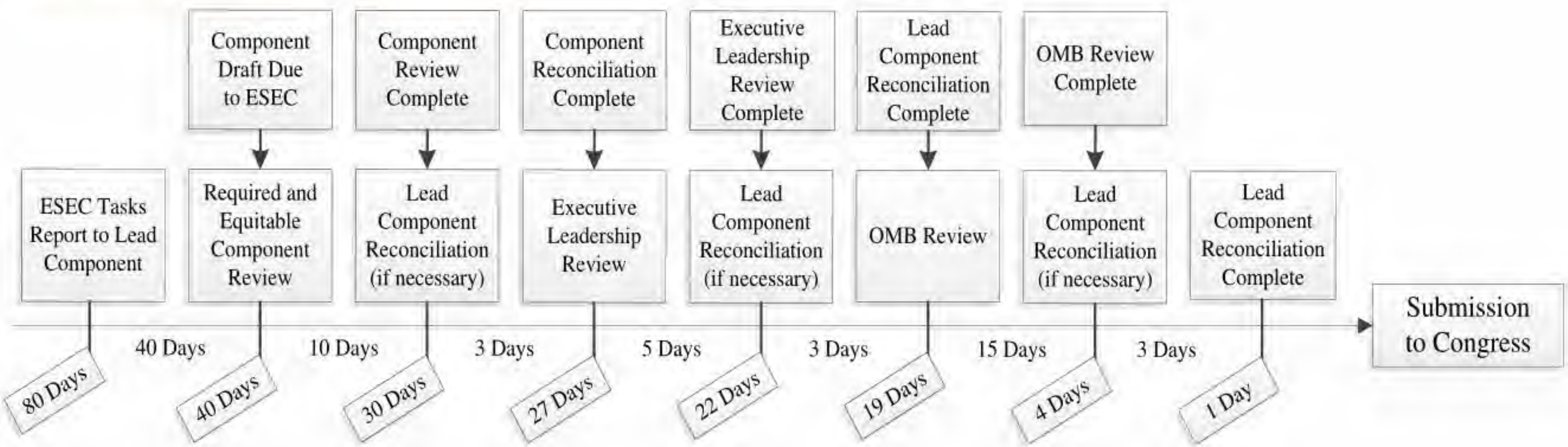
Following Executive Leadership review, ESEC sends the report to OMB for clearance. The process provides around three weeks for OMB to clear. If OMB has edits, ESEC returns the report to the originating Component for adjudication. Once edits/comments have been adjudicated, ESEC transmits redline and clean versions to OMB for final approval.

Signature and Transmittal

Following OMB clearance, if the report is for Component Head or Assistant Secretary for Legislative Affairs signature, ESEC will return the report to the signing Component to be finalized. The Component is responsible for obtaining the necessary signature. The final step is for OLA to transmit the signed report to Congress. Once the report is signed and distributed, the signing Component uploads the final report into IQ and informs ESEC of its transmission.

If the report is for Secretary or Deputy Secretary signature, a cover memo from the Executive Secretary is packaged with the report and forwarded to the Executive Leadership for approval and signature. The signed report is then sent to OLA via IQ for distribution.

Congressional Reports – Quick Review



SECTION 2.4: CONGRESSIONAL TESTIMONY AND QFRS

CONGRESSIONAL TESTIMONY

The ESEC CA team is responsible for tasking, editing, and clearing written statements associated with an official appearance by a DHS witness before an authorizing congressional committee or subcommittee. Clearance begins 10 business days before the hearing date, with a cleared and final statement delivered to OLA for transmission to the committee no later than two business days prior to the hearing. The process to obtain clearance through DHS Components, Executive Leadership, and OMB is discussed below.

Testimony Tasking

When OLA notifies ESEC CA of an upcoming hearing, ESEC will use IQ to task the relevant Component to prepare draft testimony. Once tasked, the Component will draft its testimony and clear it internally.

DHS Component Clearance

At least 10 business days before the hearing, the Component sends the draft testimony to ESEC CA via IQ. ESEC CA reviews the draft and forwards it to relevant DHS Components, who are given 24 hours to review. Any comments submitted are combined in a single, redline draft and returned to the lead Component for immediate (four business hours) reconciliation. The lead Component's reconciliation must be thorough and include any subsequent edits and further comments.

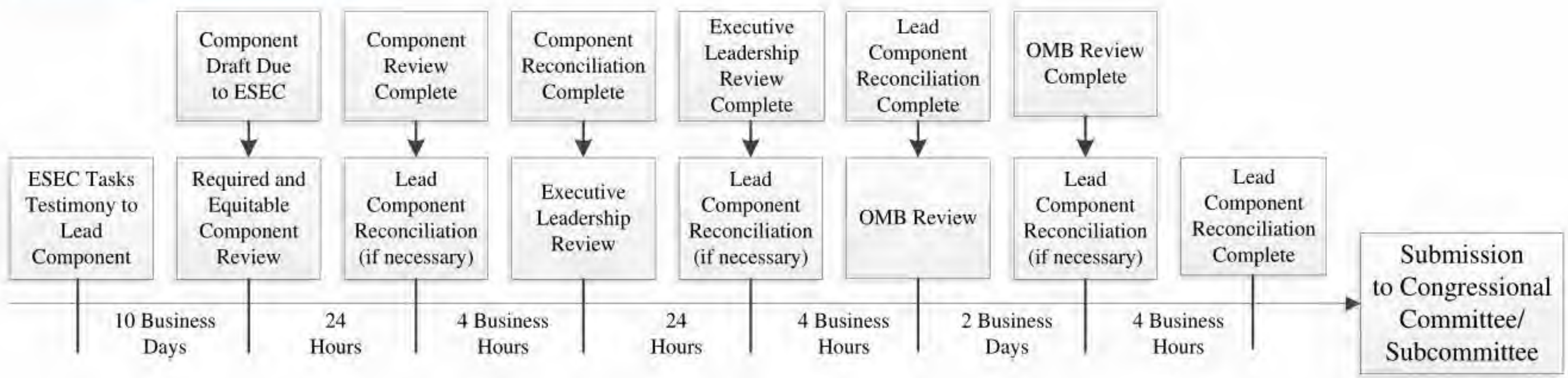
Executive Leadership Review

After the adjudication of Component issues is complete, ESEC CA will send the testimony to the Executive Leadership for clearance within 24 hours. Any comments submitted are combined in a single, redlined draft and returned to the lead Component for immediate (four business hours) reconciliation. The lead Component's reconciliation must be thorough and include any subsequent edits and further comments. The Executive Leadership has the final say in any disagreement.

OMB Clearance

After the adjudication is complete, ESEC CA will send the testimony to OMB for review. The process provides two business days for OMB review. OMB comments are combined in a single, redlined draft and returned to the lead Component for immediate (four business hours) reconciliation. The lead Component's reconciliation must be thorough and include comments with any subsequent edits and further comments. The Component must not make substantive edits. Once OMB clears the authorizing testimony on behalf of the Administration, ESEC CA will submit the testimony to the requisite OLA point of contact for final submission to the congressional committee or subcommittee.

Testimony – Quick Review



QUESTIONS FOR THE RECORD

Following a hearing in which a DHS witness has testified before a congressional committee or subcommittee, Congress sends a list of QFRs to DHS. QFRs issued by authorizing congressional committees and subcommittees are managed (tasked, edited, and cleared) by ESEC CA. QFRs resulting from an appropriations hearing are managed by MGMT/OCFO.

Within 24 hours of receipt, ESEC CA tasks QFRs via IQ and allows Components at least eight business days to provide a response, which must be cleared by the Component Head. QFRs associated with an appearance of the Secretary or Deputy Secretary are reviewed by the Executive Leadership before submission to OMB. QFR sets are cleared and finalized in an average of 32 business days and require prompt Component response to Executive Leadership and OMB edits. Components that provide at least one response in a larger QFR set are copied on the transmittal of cleared QFR sets to Congress, enabling Components to build a library of cleared and finalized QFR responses to assist with future taskings on the same or similar topics.

Tasking and Preparing QFR Responses

As soon as the Component receives QFRs from ESEC, the Component will draft a response and clear it at the Component level. In the event that a question has been assigned in error, the tasked Component must reassign the question(s) to the correct Component within 24 hours. If they are not reassigned within 24 hours, the tasked Component becomes responsible for coordinating the response.

Components are given at least eight business days to draft, submit, and reassign a Component-cleared response to ESEC CA in IQ. Once received, ESEC CA sends the draft QFR responses to the required and equitable DHS Components, who are allowed two business days for review.

DHS Clearance

ESEC CA consolidates edits and/or comments in a single, redline draft and provides it to the lead Component(s) allowing two business days for reconciliation. Components must use the tracked changes function to show any subsequent edits or to respond to any Component concerns. Following adjudication of any issues, ESEC CA forwards the draft response to the Executive Leadership for clearance (for Secretary, Deputy Secretary, and Budget QFRs). CA sends all other QFRs directly to OMB. The Executive Leadership clearance may require two business days, and this review may result in further edits or questions. CA forwards these comments to the lead Component, which must respond by either reconciling the edits or responding to the questions. Components must explain fully if they choose not to accept any Executive Leadership edits, but the Executive Leadership makes the final determination.

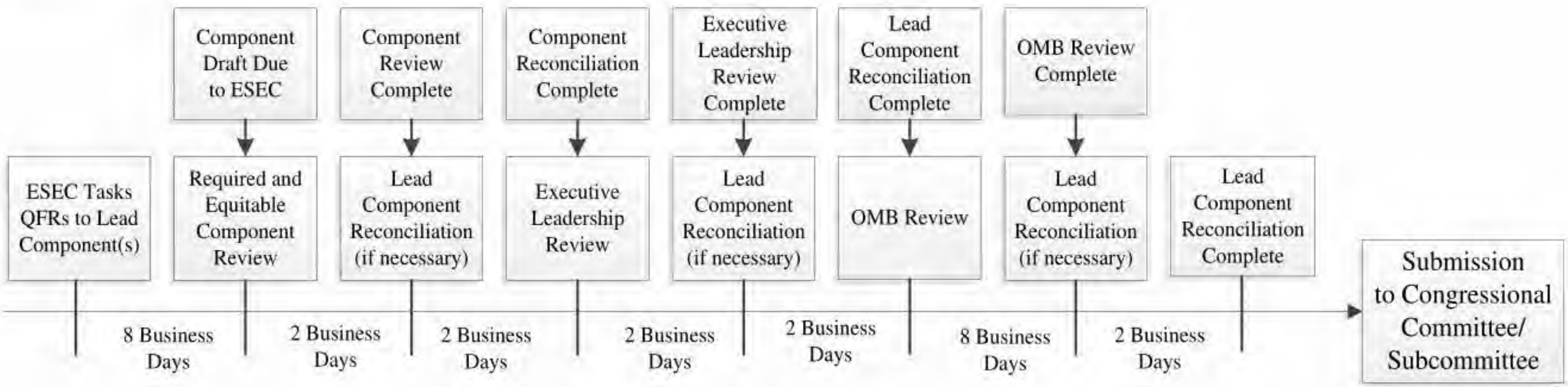
OMB Clearance

After the adjudication of language is complete, ESEC CA will send the QFR set to OMB for its review. OMB is allowed eight business days for review and ESEC CA will send OMB comments to the lead Component in a single, redlined draft. The Component has approximately two business days to respond and should use the tracked changes function for any subsequent edits or to respond to OMB comments. Please note that the Component must not make further substantive edits. Once OMB clears the QFR set on behalf of the Administration, ESEC CA submits the QFR responses to the Clerk of the Committee who issued the QFRs.

QFR Tracking

ESEC CA tracks and maintains data associated with the QFR process. Component response rate (late vs. on-time) for each QFR set and the timing associated with the internal and external clearance process is closely monitored. QFR status is provided to ESEC leadership in the Daily Congressional Actions Status Report and QFR sets resulting from an appearance by the Secretary or Deputy Secretary are also entered into a SharePoint tracking system, allowing for effortless report generation.

QFRs – Quick Review



SECTION 2.5: BRIEFING BOOKS

At the end of each day, ESEC provides the Secretary and Deputy Secretary with a comprehensive briefing book to prepare them for the next day's meetings, phone calls, and other appointments. ESEC has a firm deadline for briefing books and Components should not ask ESEC to "hold the book" for a late submission.

The memorandum from the Chief of Staff, *Secretary's Guidance on Daily Briefing Books and Information Memoranda*, provides further background and may be referenced (Appendix C).

BRIEFING MEMORANDA

Tasking a Briefing Memorandum

Many factors (e.g., current events, national security requirements, disasters, congressional actions, and media inquiries) shape the Secretary and Deputy Secretary's daily schedule. Meeting notices for the Secretary and Deputy Secretary are sent via email from the schedulers to the Briefing Book Coordinators. As soon as there is notice, generally within the hour, the Briefing Book Coordinator identifies the lead and coordinating Components and tasks the meeting accordingly.

ESEC tasks Components to prepare briefing materials via email and attaches the appropriate templates to the email. Meeting taskers list crucial details of the meeting: the date of the meeting, subject, location, supplemental information (if available), and due date for briefing materials. ESEC determines the lead Component for preparing briefing materials based on the subject matter. Required Component coordination always includes: PLCY, OGC, MGMT, I&A, and Executive Leadership Counselors. ESEC determines additional Component coordination by the subject matter.

The standard deadline is 5 p.m., 3 business days before the meeting. If an extension or lead change is required, please contact the Briefing Book Coordinator through BriefingStaffA.

Preparing Briefing Materials

Provide materials tailored to the meeting at hand. This generally consists of a thorough, yet concise briefing memo, talking points, and additional attachments as necessary. The author(s) of the briefing memo must ensure to include sufficient information to adequately prepare senior leadership while balancing the need to limit the level of detail provided.

Use the standard format so that key information is quickly accessible. The format of the briefing materials is vital in the rapid comprehension of information. Briefing materials are formatted to facilitate the Secretary and Deputy Secretary's access to the information. The overview includes overall goals of the meeting, meeting logistics, and background highlights. Talking points are always the first tab and are formatted with enough white space so that they are easy to read. The goal is to make the briefing materials as clear and as user-friendly as possible for quick reference.

The objectives and desired outcome of the meeting must be clearly expressed. Whether it is a meeting with another agency, a stakeholder, or even at the White House, clearly state what goals the Secretary or Deputy Secretary should work toward.

Submission

Once Components have drafted materials and have fulfilled the coordination requirements, Component leadership must approve the materials at the COS-level or above. Components provide proposed briefing book materials to BriefingStaffA via email. There are circumstances in which meeting materials will require limited distribution. Please make sure those directions are clear when sending to BriefingStaffA.

ESEC will ensure that the materials are in the correct format, grammatically correct, and responsive to any questions the Secretary or Deputy Secretary may have. The Briefing Book Coordinator will circulate the materials to the Executive Leadership Counselors for additional review. If there are comments, ESEC will return the materials to the appropriate Component for reconciliation through their respective Executive Secretariats.

Assembly and Distribution

After materials are submitted and edited by ESEC, they are organized for the Secretary and Deputy Secretary based on their schedules. If, at the time of production, materials are still outstanding, the Coordinators will include a placeholder stating that the Component failed to provide materials in advance of the meeting.

Both the Secretary and Deputy Secretary receive materials for the next day by the early afternoon. ESEC begins assembling the books in the morning for a 1 p.m. delivery to the Executive Leadership.

An electronic version of the materials is shared with individuals designated by the Executive Leadership. By request, ESEC can share the edited versions of submitted briefing materials with Components for their records or if their leadership is attending the meeting with the Secretary or Deputy Secretary.

DOMESTIC AND INTERNATIONAL TRAVEL

When ESEC is notified of upcoming domestic travel, the Briefing Book Coordinator will work with the trip director to identify events that require briefing material. The Coordinator will task the meetings associated with the trip on one matrix. The format and the due date for the materials are dependent on the requirements of the Secretary or Deputy Secretary and may vary depending on the goals of the trip. For domestic trips, ESEC always requires the Federal Emergency Management Agency (FEMA) to submit grant profiles for the states being visited and the Office of Public Affairs to submit relevant press clips.

It is standard for PLCY's Office of International Engagement (OIE) to be the lead Component on briefing materials for international travel. Based on the topic of the meeting, the Briefing Book Coordinator will include required coordinators outside the standard four (OGC, PLCY, MGMT, and I&A). The format and due date for materials for international travel are the same as domestic travel materials. For international travel, ESEC requires PLCY/OIE to submit country papers and Department of State (DOS) scene setters, and I&A to submit leadership profiles.

Once materials are approved and edited, the Briefing Book Coordinator prepares books for each individual traveling with the Secretary or Deputy Secretary. This is the standard for both domestic and international travel.

TRIP THANK YOU NOTES

Thank you notes are included in the taskings for both domestic and international trips. ESEC Component Liaison will task the lead Component to draft and submit thank you notes for the Secretary or Deputy Secretary's signature through IQ. Draft thank you notes cleared by OGC are due to ESEC no later than two business days after the Secretary or Deputy Secretary returns from travel.

The Component that drafted the briefing materials is responsible for drafting the thank you notes and providing accurate and complete names, titles, and addresses, in addition to anticipated means of transmittal (e.g., through the embassy or via the DHS representative in-country, etc.). We strongly encourage Components to coordinate these notes with the person who staffed the Secretary or Deputy Secretary on the trip.

SECTION 2.6: WHITE HOUSE/INTERAGENCY ACTIONS

WHITE HOUSE INTERAGENCY POLICY COMMITTEES

An Interagency Policy Committee (IPC) is an Under/Assistant Secretary-level meeting held by the NSC to discuss interagency issues that should/could be raised to the Deputies-level. There is an Under/Assistant Secretary-level lead for each IPC who represents DHS's views in the interagency process. The IPC process is currently managed by PLCY. If Component representatives have knowledge of topics that may be moving from the IPC to a Deputies Committee (DC), they should notify their Executive Secretariat, so they can notify the WHIA team.

WHITE HOUSE PRINCIPALS COMMITTEE/DEPUTIES COMMITTEE

A DC is a Deputy Secretary-level meeting held by the NSC to approve and/or discuss issues that have come up through the IPC process. A Principals Committee (PC) is a Secretary-level meeting held by the NSC to approve or discuss issues before they are presented to the President. ESEC has the lead on PCs and DCs.

The NSC will sometimes distribute paper PCs and DCs, which are draft documents disseminated to departments/agencies for review and comment in lieu of an in-person meeting. ESEC asks Components to provide Deputy- or Secretary-level comments through an action memo and comment matrix. It is important for paper PCs and DCs to be well coordinated with the necessary Components to ensure a unified response.

Notification of the Meeting

The WHIA team receives a look-ahead schedule, on the Joint Worldwide Intelligence Communications System (JWICS), from the NSC listing potential PC and DC meetings weekly. The look-ahead schedule covers a three week period and is considered a general guide since the NSC often schedules meetings that are not listed on the look-ahead. The WHIA team reviews the look-ahead schedule to identify which meetings may have DHS equities, and tasks those meetings as tentative.

A PC or DC meeting is considered confirmed when the NSC Executive Secretary's office notifies the WHIA team. When the WHIA team receives this information, the appropriate scheduler and Executive Leadership staff is notified. The WHIA team uses discretion in titling the meeting when notifying schedulers or tasking, as the full title or meeting topic is often classified. The NSC will also inform WHIA if the invitation includes a "plus-one" (+1) or if the invitation is principal only.

Once a meeting is confirmed (and under some circumstances before it is confirmed) the WHIA team tasks the meeting to a lead Component. Like a regular briefing book tasking, the template that Components must use will be attached to the email tasking. Materials are due by 5 p.m., 3 business days before the meeting.

Distributing Agenda and/or Read-Ahead Materials

As the meeting date approaches, the NSC will provide an agenda and, as appropriate, read-ahead materials. If the materials are unclassified they will be sent on A-LAN. If the materials are classified, they will be sent on JWICS. Once the materials are received, the

WHIA team will forward them to the lead Component and required coordinators. If the materials are classified, an email notification will be sent on A-LAN alerting the recipient that the read-ahead has been sent to their JWICS account. The read-ahead is also shared with the Executive Leadership.

Final Preparations Materials Package

Upon receipt of the final briefing materials from the lead Component and read-ahead materials from the NSC, ESEC will edit and package materials in the preferred format for the Secretary and Deputy Secretary and submit to the Executive Leadership for review and approval prior to delivery to the Secretary or Deputy Secretary's staff. WHIA will facilitate the delivery of the final materials to surrogates or +1s.

Identify Participant and RSVP

The WHIA team will work with the schedulers to determine who is attending the meeting. If the Secretary or Deputy Secretary cannot attend the meeting, ESEC will work with Component schedulers to identify a surrogate and run the proposed name past the Executive Leadership for approval. WHIA will need the surrogate's vital information, also referred to as WAVES, for clearance into the White House complex.

WAVES information details the attendee's:

- Full name (first, middle, last);
- Gender;
- Date of birth;
- Social Security number;
- U.S. citizen information;
- Country of birth; and
- Current city/state of residence.

The NSC requires participant information to be submitted 24 hours prior to the meeting. ESEC will respond to the NSC Executive Secretariat with the name and WAVES information for the individual(s) attending.

Receive and Distribute Summary of Conclusions

The NSC will provide a Summary of Conclusions (SOC) at some point following the PC or DC. The SOC covers the discussion held at the meeting and often has actions that the participants agreed to execute. SOCs are distributed in the same manner as read-ahead material – depending on classification level, they are sent to the lead Component and required coordinators on either A-LAN or JWICS.

In an effort to memorialize DHS participation in PCs and DCs that the Secretary and Deputy Secretary do not attend, WHIA asks that the surrogate prepare a short summary of the meeting. This summary will include a description of the key points at issue in the interagency, an articulation of DHS's position, and the next steps. The summary and the SOC given to the Secretary and Deputy Secretary will be kept on file as reference for preparing other PCs/DCs that may occur on this issue. A template for the summary is included in the tasking.

INTERAGENCY DOCUMENT REVIEW TASKINGS

ESEC regularly receives requests from the interagency for the comment and/or clearance of draft documents, reports, Executive Orders, and Presidential memoranda.

Receive Request/Document

Requests are received via email or regular mail and have a clear suspense date. The majority of the requests come from OMB, however this process of review is different from the legislative referral memorandum review process, which is handled by OGC.

Task Component

WHIA will task these requests via email, and the tasking block will look similar to a briefing book tasking. The appropriate templates for an action memo and comment matrix are attached to the email along with the incoming document. The lead Component and coordinating Components are determined based on the document's subject matter. The tasking response is due to ESEC one day before the interagency deadline.

Component Submissions/Packaging for Signature

Upon receipt of final submission from the lead Component, WHIA will facilitate any additional clearance of the comments that are needed from the Executive Leadership. After the clearances are obtained, WHIA will process the document for signature by the Executive Secretary.

Submission to Requesting Agency

WHIA will respond to the originating department or agency with a message indicating DHS's position: concur, concur with comments, or non-concur.

SECTION 2.7: SERVICES/SPECIAL ACTIONS

ESEC also helps process special requests or documents. Many of these are unique or follow a specific format.

DIRECTIVES AND DELEGATIONS

Delegations are the Department's formal method for passing down authorities and responsibilities to another person to carry out specific activities. While the delegation does not relieve the Secretary of a responsibility, it empowers another person to act on behalf of the Secretary. A directive is an authoritative direction for how operations will occur.

Delegations and directives are handled through the Program Manager for Delegations and Directives within MGMT, not through MGMT Executive Secretariat.

The Program Manager for Delegations and Directives clears the delegation through the Department's delegation process, and coordinates review and clearance with OGC, MGMT, and ESEC leadership. Once the cleared delegation is received by ESEC, it is packaged for the Secretary's signature.

DISASTER DECLARATIONS

When a state is affected by a disaster, Governors may apply for federal assistance through FEMA. Depending on the type of request, FEMA submits electronic document packages to the ESEC in the form of major disaster declarations, cost share adjustments, appeals, and add-ons. The documents that FEMA submits include background information in the Governor's letter, an assessment of the extent and type of damage, and a map of the affected area. ESEC reviews the memo to the President and the detailed discussion, makes any required edits, and prepares a memo to the Secretary requesting approval.

The Deputy Secretary and COS must approve these documents before they reach the Secretary. Requests that are cleared concurrently with the White House are particularly time-sensitive, and ESEC expedites senior leadership's review via email. Once signed by the Secretary, ESEC distributes the signed materials to appropriate points of contact in the White House, FEMA, and the requesting Governor's office. To preserve the official record, ESEC processes each set of disaster declaration documents in an IQ workflow and files final documents with records management. Questions about the disaster declaration process should be directed to ESEC at 202-282-8221 or BriefingStaffA.

EMPLOYEE AWARDS

Components generally submit these actions to MGMT for review. If MGMT agrees with the proposed award, the package (containing a memo and appropriate signature documents) are submitted to ESEC. ESEC clears these actions with OGC, MGMT, and OIG (and sometimes other Components, depending on the circumstances) and seeks further clearance through the process established for action memoranda.

EMPLOYEE RECOGNITION LETTERS

Employee recognition letters are usually initiated by Components and submitted to ESEC through IQ. These letters follow the same process for any other Component-initiated action. Again, depending on the circumstances, ESEC will clear recognition letters with OGC, MGMT, and the appropriate Counselors, and submit them to the Executive Leadership for review and signature.

EXECUTIVE FOREIGN TRAVEL AUTHORIZATIONS

The NSC staff has asked to be notified of any official foreign travel at the Assistant Secretary-level or higher. NSC requires that we submit these notifications to them for approval at least seven business days before departure. ESEC has an established formal process to manage the submission of requests, and this process does take the place of Components coordinating their itineraries directly with DOS. For each international trip, ESEC asks Component Executive Secretariats to submit trip objectives, participants, a list of major events that leadership will be attending while traveling, and the planned travel itinerary. DHS submits a required form to the NSC that Components must submit to ESEC at least 10 days prior to travel to allow time for DHS Executive Leadership review and approval. In rare cases of unplanned travel, please allow for as much prior notice as possible. Questions about executive travel authorizations should be directed to BriefingStaffA.

FEDERAL ADVISORY COMMITTEE ACT

Components submit charter renewals and letters appointing new members or thanking past members for their service on a Federal Advisory Committee Act (FACA) committee to ESEC via IQ. ESEC sends FACA materials to OGC, PLCY (including the Committee Management Officer), MGMT, and other Components with shared equities for clearance. Once cleared by the Components, ESEC sends the action to the appropriate Counselors before moving the package to the Executive Leadership.

The timing of a charter renewal is a predictable requirement, so Components must plan ahead to allow at least one month prior to the scheduled termination of a FACA charter for clearance before the action is provided to the Secretary to sign.

INTERAGENCY DETAILS

In addition to the permanent workforce at the NSC, departments and agencies (including DHS) detail staff to fill certain vacancies. These highly-competitive details are usually arranged directly between Components and the NSC Directorates; however, the Executive Leadership also has a chance to review the detail assignments prior to confirmation. Traditionally, the details are non-reimbursable and are one year in duration with the option to extend for an additional year. The WHIA team confirms details and extension requests with the NSC in consultation with the Executive Leadership.

DHS also provides a few detailees on two year rotations to be Watch/Staff Officers in the White House Situation Room (WHSR). The WHIA team solicits candidates from DHS Components for these rotational assignments. Once a list of candidates is assembled and ranked, the Office of Operations Coordination and Planning (OPS), ESEC, and the manager of the WHSR participate in an interview panel. The WHSR makes the final selection. In addition to detailees from

DHS Headquarters, the U.S. Coast Guard (USCG) has a number of billets in the WHSR.

Members of Congress sometimes request (via a letter to the Secretary) DHS detailees to work with congressional committee staff on Capitol Hill. These details are normally less than a year in duration and are non-reimbursable. When ESEC receives a request from a Member, the request is forwarded to OLA for review. OLA then works with Components to identify a qualified candidate. The General Counsel signs the response to the Member identifying the detailee. Questions about the process for interagency details may be directed to BriefingStaffA.

NATIONAL SPECIAL SECURITY EVENT

National Special Security Event (NSSE) designations are made by the Secretary for events of national significance such as the annual State of the Union address. Requests for NSSE designation generally come from the Governor of the state hosting the event. When a request is received, the NSSE Working Group (which includes co-chairs from the United States Secret Service (USSS), FEMA, and the Federal Bureau of Investigation) reviews the request and makes a recommendation to the Secretary whether or not to designate an event as an NSSE based on threat assessments, current planning processes, and operational capabilities.

These actions are provided to the Secretary as decision memos, receiving necessary clearance from equitable Components (OGC, MGMT, PLCY, USSS, OPS, FEMA, I&A) and the Executive Leadership. After the required clearances have been obtained, they are packaged for the Secretary.

PRESIDENTIAL PERMITS

The Secretary of State has the authority to receive applications and issue Presidential permits for border crossings, liquid pipelines, and other cross-border infrastructure. In considering these applications, DOS will solicit the views of affected agencies. The application package typically comes through regular mail, but may also be sent to DHS via email. Upon receipt of the application, WHIA assigns it to the appropriate Component.

- U.S. Customs and Border Protection (CBP) is normally the DHS lead for Presidential permit applications.
- Additional Components beyond the regular required coordinators (OGC, PLCY, MGMT, I&A) should be added based on the proposed infrastructure, for example:
  - The Transportation Security Administration (TSA) for liquid pipelines.
  - The National Protection and Programs Directorate (NPPD) for land bridges and other border facilities.
  - USCG for bridges over a body of water.

ESEC asks the Component to work with the required coordinators to submit comments and an action memo to the Executive Secretary if clearance of the permit is recommended. If the Component believes that DHS should non-concur on the permit, the action memo must be addressed to the Secretary for review and approval. DOS normally gives departments and agencies 90 days to review applications. When tasked, materials will be due at least seven days prior to the DOS due date to allow sufficient time for DHS leadership review. WHIA will finalize the memo, obtain leadership clearance, and transmit the response to DOS. Questions about the Presidential permits process may be directed to BriefingStaffA.

Regulatory Actions

The issuance of regulatory actions is the Department's formal method for implementing policies that comply with constitutional and statutory requirements and mandates.

Regulatory actions are handled through OGC Regulatory Affairs, not through OGC Executive Secretariat. OGC receives the regulation directly from the appropriate Component. Once it has been approved by the Deputy General Counsel, OGC sends the regulation to ESEC to be packaged for the Secretary's signature. The regulatory action is then submitted to OMB for approval by the White House, or published to the Federal Register.

Widely Attended Gathering Request

Components submit widely attended gathering (WAG) requests to the Designated Agency Ethics Official in OGC for review. OGC has a specific form for WAG requests and provides a recommendation to ESEC to be packaged for Executive Leadership review. Components submit WAG requests one week before the date of the event, or as soon as possible, in case of last-minute invitations.

SECTION 3: CLASSIFIED MATERIALS

Handling classified materials requires particular focus. The office primarily responsible for providing guidelines is the Office of the Chief Security Officer in MGMT.

1. When sending via classified system, always send an unclassified email informing recipients of the email in their classified email box.

2. Be sure to use the appropriate classified email box.

3. The term "For Official Use Only (FOUO)" is a handling caveat, not a classification, and means that the information marked may be exempt from FOIA requirements. Mark this type of information using the following guidance:

   The header and footer are labeled UNCLASSIFIED//FOR OFFICIAL USE ONLY.

   Use the portion marking (U//FOUO) for portions of classified papers that are both unclassified and for official use only.

4. Classification//handling caveat labels should be spelled out, centered, bold, and in capital letters.

   Make sure to include the CLASSIFICATION//CAVEAT in the header/footer on every page, including the first page.

5. Classified documents also need to include portion marking for bullets, graphics, headings, paragraphs, tables, and titles, in accordance with the content contained within the document.

   For ease of reading, use the same font for the portion marking as for the text to which it applies.

   Two spaces follow portion markings.

SECTION 4: PERSONALLY IDENTIFIABLE INFORMATION

PERSONALLY IDENTIFIABLE INFORMATION

This fact sheet helps to safeguard Sensitive Personally Identifiable Information (PII) in paper and electronic form during your everyday work activities. DHS employees, contractors, consultants, interns, and detailees are required by law and DHS policy to properly collect, access, use, safeguard, share, and dispose of PII in order to protect the privacy of individuals.

PII is any information that permits the identity of an individual to be directly or indirectly inferred, including any information that is linked or linkable to an individual. Some PII is not sensitive, such as that found on a business card. Sensitive PII is information which if lost, compromised, or disclosed without authorization, could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual. Sensitive PII requires stricter handling guidelines, which are detailed below.

Examples of Sensitive PII include:

Social Security numbers, Alien Registration Numbers (A-number), financial account numbers, biometric identifiers (e.g., fingerprint, iris scan), citizenship or immigration status, account passwords, and medical information.

The context of the PII may also determine its sensitivity, such as a list of employees with poor performance ratings.

GUIDELINES FOR SAFEGUARDING SENSITIVE PII

Collecting and Accessing Sensitive PII

Before collecting or maintaining Sensitive PII, be sure that:

- you have the authority to do so;
- the data collection is consistent with the terms of a Privacy Act System of Records Notice (SORN); and
- your database or information-technology system has an approved Privacy Impact Assessment.

Access to Sensitive PII is based on having an official need to know. Limit your access to only the Sensitive PII needed to do your job.

- Ensure that casual visitors, passersby, and other individuals without an official need to know cannot access or view documents containing Sensitive PII. If you leave your work area for any reason, activate your computer's screen saver.
- Ensure privacy while having conversation or making a telephone call regarding Sensitive PII.
- Do not post Sensitive PII online. This includes the DHS intranet, social networking sites, shared drives, SharePoint, or multi-access calendars accessible to individuals without an official need to know or proper authorization.

- Do not share account information, especially logins or passwords, with anyone. Do not have login or password information accessible to others (such as on a sticky note on your computer).

Be alert to phone calls or emails from individuals claiming to be DHS employees attempting to gather or verify personal or non-public information. DHS will never ask you to verify your account login, password, or personal information by email or over the phone.

Using and Safeguarding Sensitive PII

Limit duplication of Sensitive PII

Before creating new spreadsheets or databases that contain Sensitive PII from a larger file or database, consult the *DHS Sensitive Systems Policy Directive 4300A* (Appendix E/Ei).

Protect Hard-Copy Sensitive PII

Do not leave Sensitive PII unattended on desks, printers, fax machines, or copiers. Secure Sensitive PII in a locked desk drawer, file cabinet, or similar locked enclosure when not in use. When using Sensitive PII, keep it in an area where access is controlled and limited to persons with an official need to know. Avoid faxing Sensitive PII if other options are available.

Safeguard DHS Media

Sensitive PII may be saved, stored, or hosted only on DHS-approved portable electronic devices (PEDs) such as laptops, USB flash drives, and external hard drives. All portable media must be encrypted pursuant to *DHS Sensitive Systems Policy Directive 4300A*. Personal computers may not be used unless you log-in through the DHS Virtual Desktop. If you need to transport your laptop or PED and must leave it in a car, lock it in the trunk and out of sight. Do not leave your laptop or PED in a car overnight. If lost or stolen, immediately report the missing asset according to your Component's reporting procedures.

Sharing Sensitive PII

You are authorized to share PII outside of DHS only if there is a published routine use in the applicable SORN and an information sharing and access agreement that applies to the information.

Emailing Sensitive PII

Within DHS: Though DHS policy allows you to email Sensitive PII without protection to a recipient with an official need to know, some Components do require encryption. The DHS Privacy Office strongly recommends that you redact, password-protect, or encrypt Sensitive PII that you email within DHS.

Outside DHS: Email Sensitive PII within an encrypted attachment with the password provided separately by phone, email, or in person. Before emailing Sensitive PII, confirm that you have the correct email address.

Never email Sensitive PII to personal email accounts: Personal computers must not be used to access, save, store, or host Sensitive PII unless you log-in through the DHS Virtual Desktop. Each Component has different procedures for accessing the DHS network remotely. Check with your respective Help Desk with any concerns.

Mailing Sensitive PII

Encrypt Sensitive PII stored on CDs, DVDs, hard drives, USB flash drives, floppy disks, and other removable media prior to mailing or sharing. Always verify that the recipient received the information. Note that FOIA requests may require different handling.

Within DHS: Mail Sensitive PII in a blue messenger envelope provided by your on-site DHS mailroom or courier.

External Mail: Seal Sensitive PII in an opaque envelope or container. Use First Class Mail, Priority Mail, or a traceable commercial delivery service (e.g., UPS, FedEx).

Disposing of Sensitive PII

Sensitive PII, including that found in archived emails, must be disposed of when no longer required, consistent with the applicable records disposition schedules. If destruction is required, take the following steps:

- Shred paper containing Sensitive PII - do not recycle or place in garbage containers. Be especially alert during office moves and in times of transition when large numbers of records are at risk.

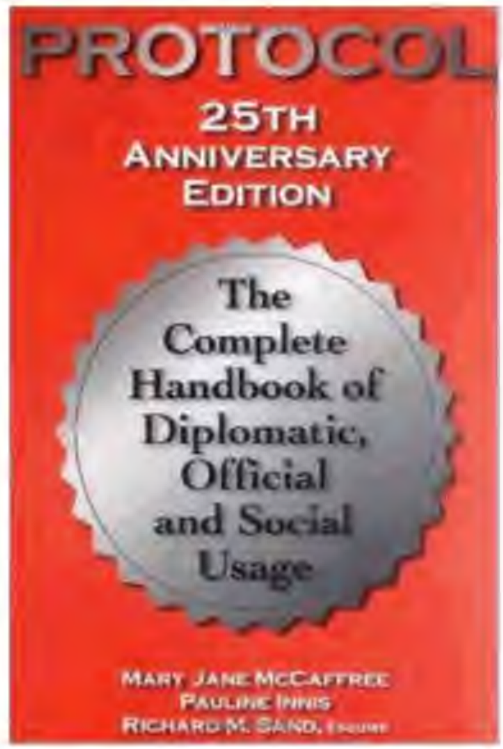
- Before transferring your computer or PED to another employee, ask your Help Desk to sanitize Sensitive PII from computer drives and other electronic storage devices according to your Component's information security standards.

Reporting Privacy Incidents

You must immediately report suspected or confirmed privacy incidents involving the loss or compromise of PII to your supervisor. If your supervisor is unavailable, or if there is a potential conflict of interest, report the incident to your Program Manager, Help Desk, Component privacy officer, or privacy point of contact.

SECTION 5: DHS STYLE AND USAGE GUIDELINES

DHS uses the Federal Government's Government Printing Office (GPO) Style Manual as a reference for internal and external correspondence and other written materials. Exceptions to the GPO Style Manual are outlined in this Handbook as comprehensively as possible. The Protocol Book is also a valuable guide for addresses and salutations. Additional reference material can be found in Section 8.



SECTION 5.1: LETTER SET-UP

Alignment

Documents should be aligned left. In a letter, the first line of each paragraph should be indented one tab stop (0.5") in keeping with the style used by the Secretary.

Only books or other materials prepared for publication should be justified right; letters, memos, reports, and testimony should be prepared with a justified left margin and ragged right margin (assuming you are writing in English and not a language that is read from right to left).

Attachment/Enclosure

The term "attachment" is used for memoranda. The term "enclosure" is reserved for letters. If an attachment or enclosure is included, it needs to be mentioned in the body of the memorandum or letter. The applicable term is placed two lines (three hard returns) below the signature block of the letter or final paragraph of the memo. If the letter/memo has a "cc" line, "attachment/enclosure" will appear below the "cc" line(s).

Block Addresses

When a full address is provided in the body of the letter, it is blocked from the remainder of the text. The address should be aligned left and indented two inches. The postal abbreviation should be followed by two spaces:

U.S. Citizenship and Immigration Services
123 Main Street
Anytown, CA 99999

Carbon or Courtesy Copy (cc)

When including a carbon or courtesy copy recipient on a letter, place a "cc" two lines (three hard returns) below the signature block.

The "cc" is followed by a colon and two spaces or, in the case of multiple carbon copy recipients, the "cc" is followed by a colon and one tab stop to individually align subsequent names.

Closing

The final paragraph of the Secretary's letters usually closes with appreciation for the letter, and an indication of interest in working together, "Thank you for your interest on this and future homeland security issues" (or other language to that effect). The final line is generally, "Should you wish to discuss this matter further, please do not hesitate to contact me." This is especially true for congressional correspondence. If offering a briefing, provide the point of contact's name, title, and telephone number.

The Deputy Secretary's closing language should be similar to the Secretary's, adapted to the nature of the letter.

The Secretary and Deputy Secretary use "Sincerely," as their valediction.

Date

ESEC will date the letter after it has been signed by the Secretary or Deputy Secretary. We do not use a date stamp. To date the signed response, use a blank word document with the date centered on the page so that it will print in the space allowed on the signed response and feed the signed letter back through the printer. We encourage Components to date letters in this manner as it looks integral to the letter and maintains consistency across DHS.

Font

Documents initiated by DHS intended for the Secretary or Deputy Secretary's review and/or signature should be prepared using Times New Roman 13-point font. The exceptions are: documents that meet or exceed 25 pages (to reduce paper usage), management directives, regulations, talking points, speeches for the Secretary, and press releases.

Inside Address

ESEC does not use Mr. or Ms. within the address block. We do, however, use honorifics such as The Honorable. The state should be written out, with the exception of DC.

> Jane Smith
> 123 Meadow Court
> Silver Spring, Maryland 20773
>
> The Honorable Joe Brown
> U.S. House of Representatives
> Washington, DC 20000

For names containing a suffix, a comma should be used preceding "Jr." or "Sr." or a roman numeral following the individual's name.

> Joe Smith, Sr.
> 123 Meadow Court
> Somewhere, DC 20773

In the body of a document, always spell out the name of a U.S. state. "I visited West Virginia." In a block address (within the body to the letter), use the postal code abbreviation. Do not use periods when writing "DC." When referring to the quadrants in Washington, DC, do not use periods (e.g., NW).

Letterhead

Always use DHS letterhead designated for the appropriate signatory. Components preparing draft responses for Executive Leadership signature are not required to submit them on letterhead. ESEC will print the cleared response on the appropriate letterhead.

Joint memos prepared for two or more Component Head signatures should use DHS letterhead and the original should be signed by each Component Head, if possible.

When a letter or memo is being prepared for a joint signature by principals from separate departments or agencies, both seals may appear in the header on the first page.

Line Breaks

While permissible in a report, please do not break dates across two lines in a letter.

Correct - The Secretary had a meeting with DHS Components on
June 19, 2009.

Incorrect - The Secretary had a meeting with the DHS Components on June 19,
2009.

Similarly, do not break names across two lines. To the extent that it reads well and does not leave a huge gap at the end of the line, names should be kept on the same line.

Correct - The Secretary had several meetings about homeland security with
R. Gil Kerlikowske.

Incorrect - The Secretary had several meetings about homeland security with R.
Gil Kerlikowske.

Telephone numbers, dollar amounts, and section numbers should be on the same line.

Correct - For further assistance, please contact me at 202-555-5555.

Incorrect - For further assistance, please contact me at 202-555-
5555.

Margins

The Secretary's preferred letter format is 1" margins (left, right, top, and bottom). With 13-point font, a right margin and bottom margin of 0.9" is acceptable.

The inside address should begin eight hard returns below the top margin, but should be adjusted based on the length of the letter. For a shorter letter, the distance from the top margin can be increased in an effort to center the letter on the page.

Opening Paragraph

Responses written for signature by the Secretary, Deputy Secretary, and Assistant Secretary for Legislative Affairs should begin with:

"Thank you for your letter of February 1, 2014."

Page Numbers

Documents longer than one page must include page numbers placed in the header of the document, not the margin space. Page numbers are aligned left, not centered. Do not include a page number on the first page. For letters, the page number should include the name of the addressee, followed by the page number:

The Honorable John Smith
Page 2

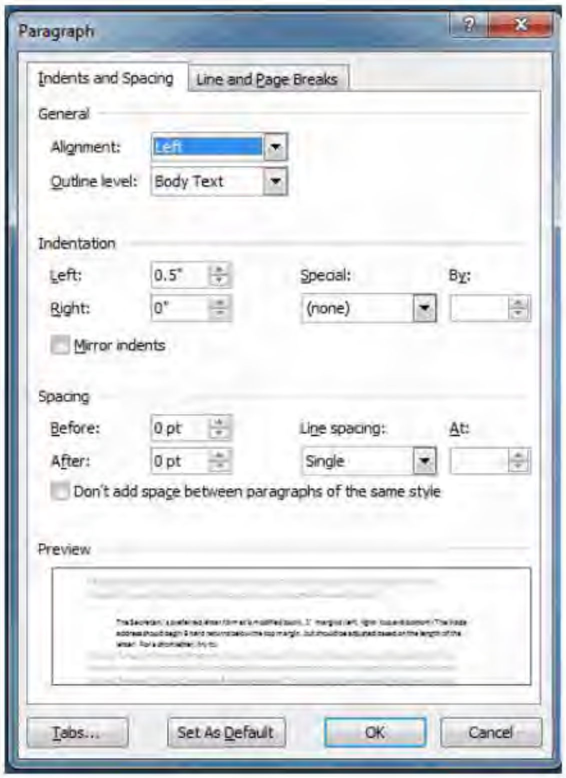
For memoranda, the page number should include the subject of the memo, followed by the page number:

Guidance on Coordination Procedures
Page 2

In general, please keep letters to no more than two pages. If the sender has posed a list of questions, the questions and their responses should be enumerated in a separate enclosure (white paper) that is mentioned in the body of a short response. If your material, report, attachment, or enclosure includes a table or chart, please center the text vertically and ensure that the cells are wide and tall enough to read the text with some space around it.

Paragraphs

Paragraphs should be single-spaced with double spacing between paragraphs. Paragraph line spacing should be single-spaced. Some versions of Word have a default template that adds 0.6" above or below each line or each paragraph. In this case, reset your template to single spacing with 0.0" above and below.



Salutation

Use "Mr." or "Ms." for most salutations. Unless a woman specifically refers to herself as "Mrs." use "Ms." for women over the age of 12. "Ms." or "Miss" may be used to address girls under the age of 12 and "Mr." or "Master" may be used to address boys under the age of 12. Upon first usage of a name, the individual should be addressed as Mr./Ms. first-name last-name. Subsequent mentions should be Mr./Ms. last-name.

Jane Smith
123 Meadow Court
Somewhere, DC 20773

Dear Ms. Smith:

Thank you for your May 1, 2014 letter on behalf of your husband,
Mr. Joe Smith, regarding Mr. Smith's employment.

For Members of Congress who chair a committee, use Chairman [name]. We do not use Mr. or Ms. Chairman/Chairwoman. If the Member signed acting in the capacity of the Committee Chair or Ranking Member, we address them as follows:

The Honorable Joe Brown
Chairman
Committee on Homeland Security
U.S. House of Representatives
Washington, DC 20000

Dear Chairman Brown:

Signature Block

There should be four lines (five hard returns) between the valediction and the signatory's name. The signature block should be indented 2.5" or 5 tab stops. For example:

Sincerely,

Jeh Charles Johnson

Widows and Orphans

If only one line of a paragraph is displayed on a page, begin the new paragraph on the next page.

SECTION 5.2: FORMATTING/PUNCTUATION

Acronyms

Documents prepared to and on behalf of Secretary Johnson should use minimal acronyms – only common organization abbreviations and acronyms in external correspondence and common organization and well-known programs in internal correspondence. "DHS" does not need to be spelled out in internal memoranda.

When used, acronyms must be defined (but common acronyms should not be defined in thank you notes). In letters that are acronym-heavy, do not use an acronym if the term is used only two or three times; instead, simply write out the terms each time. Reports require an abbreviation/acronym list as an appendix or attachment.

Possessive of DHS is DHS's (the "S's" stands for "Security's").
However, the possessive of USCIS is USCIS' (the final S stands for "Services," the possessive of which is Services').

The plural of an acronym is with a lower case "s," example PEDs (not PEDS).

When an acronym is possessive, an apostrophe is appropriate:

Law Enforcement Officer (LEO) - He looked at the LEO's badge.

Bold, Italics, Underlining

Do not use bold, italics, underlining, or all capitals in the body of a letter to emphasize a point. Bold, italics, and underlining can be used appropriately in documents as subject headings or in style-specific context (e.g., publication titles, legal references, etc.).

Bullets

Format consistently: if bullets are indented 0.5" in one section, indent bullets 0.5" throughout the document.

Ensure proper alignment of bullets, not just within a list but within the entire document. If each bullet constitutes a complete sentence, the first word should be capitalized and a period should be placed at the end of each line.

If the bullet is a fragment, capitalization of the first word of each item is permissible, but not required and a semicolon should be placed at the end of each line. In this circumstance, the penultimate line should end with "; and" / "; or". The last line should end with a period, not a semicolon.

In general, try to avoid the use of bullets in a letter (but there will be some cases where it will be appropriate).

Capitalization

Capitalize: Federal Government; U.S. Government; Government of Canada (but Canadian government); the word "State" only when referring to a specific state or states (State of Ohio) or a nation (United Nations Member States); Congress; Nation (when referring to the United States); Southwest Border, and Member of Congress.

Do not capitalize congressional, national, or federal (except as noted above). Capitalize titles when they immediately precede a person's name (Legislative Director Joan Smith); lowercase when they follow a name (Joan Smith, legislative director), except titles of extreme importance: Barack Obama, President of the United States, Ichiro Fujisaki, Ambassador of Japan to the United States.

Capitalize names of specific programs: Temporary Protected Status, Global Entry, etc.

Always capitalize proper nouns. When using a noun that is a well-known short form of a proper noun it should also be capitalized (e.g., the Department, Headquarters).

DHS capitalizes Executive Branch, Judicial Branch, and Legislative Branch.

Colons

A colon must be preceded by a full sentence.

Columns/Tables

Keep columns of numbers in a straight line with each number right-aligned. If there is a total, always double-check the math.

In a table, cells should be centered vertically.

Em- and En-Dashes

An em-dash is the length of two hyphens and is used:

To show a break in thought and is almost always used in pairs.

My sister Megan—who is two years younger—is taller than my father.

Instead of commas or parentheses if the meaning may thus be clarified.

These are deposits—gravel, sand, and clay—but sediments underlie them.

Before a final clause that summarizes a series of ideas.

Clarity, transparency, and the Department's responsiveness to Congress—these are the Secretary's priorities.

An en-dash is used:

In a combination of:

Figures

202-282-1000 (telephone numbers)

111-22-1234 (Social Security numbers)

Capital letters

C-SPAN, CBS-TV

Figures and capital letters

I-95 (highway), DC-14 (airplane).

To mean through or to:

The temperature was 70-80 degrees.

Hyphens

Hyphens are used to separate words containing double a's and double i's. Double e's do not require a hyphen:

e.g., preemployment.

Hyphens can also be used when adding a prefix creates confusion:

e.g., re-sign vs. resign.

Or in the case of modifiers:

e.g., image-enhancing technology.

Do not use a hyphen in conjunction with a modifier that ends in "ly."

Hyphens (Numbers)

Hyphens are used between the elements of compound numbers from twenty-one to ninety-nine:

e.g., thirty-nine.

In adjective compounds with a numerical element:

e.g., 13-week vacation, 24-hour day.

Between the elements of a fraction:

e.g., two-thirds, one-thousandth.

Do NOT use a hyphen when using a modifier consisting of a possessive noun preceded by a numeral:

e.g., 12 weeks' pay.

Quotation Marks

Commas and periods are always placed inside quotation marks. The placement of other punctuation is dictated by context. If the quoted material contains a question, the question mark would be placed inside the quotation marks.

e.g., she always asks "where are we going?"

If the quoted material does not contain a question, but the sentence in which it is placed is a question, the question mark would be placed outside the quotation marks.

e.g., did you hear her say, "I'm coming!"?

Serial Comma

In a list of three or more items, a comma separates each item, including the item immediately preceding the conjunction.

e.g., the colors were blue, purple, and orange.

In a list of items that contain commas, use semicolons to separate the items.

e.g., he traveled to San Diego, California; New Orleans, Louisiana; and Pittsburgh, Pennsylvania.

Spacing

Ensure that there are two spaces following a period at the end of a sentence or a colon. Only one space follows a semicolon.

In an address, there should be two spaces between the postal code and ZIP code.

Time

For consistency, time should always be shown in 12-hour (clock) time. Place no spaces before or after the colon. Use periods and lowercase for "a.m., p.m." with a space between the time and "a.m. or p.m." The ":00" may be omitted when indicating the top of an hour:

e.g., 8:25 p.m., 11 a.m.

Use noon or midnight instead of 12 p.m. and 12 a.m. to make clear the part of the day being referenced. The word "o'clock" is not used with abbreviations of time:

Incorrect - 10 o'clock p.m.

Do not write redundancies such as 10 a.m. this morning and 10 p.m. tonight.

Range of Time

Hyphenate if both times are a.m. or p.m. Otherwise place "to" between the times:

e.g., 8:30-11 a.m. or 9 a.m. to 5 p.m.

SECTION 5.3: GENERAL SYNTAX/HELPFUL TIPS

"A" and "an"

The decision to use "a" or "an" is based upon the beginning sound of the following word, not the beginning letter.

"A" is used before words beginning with consonant sounds, including a pronounced "h"

e.g., a historic event, a one-year term, a united stand.

"An" is used before words beginning with vowel sounds.

e.g., an egg, an honor, an NPPD record.

Date

In contrast with the GPO Style Guide, DHS does not use a comma after the year when writing out a date, unless it is a natural break.

Thank you for your February 12, 2013 letter to President Obama regarding expediting the visa issuance process.

On December 19, 2013, your office sent an email to the White House.

e.g. and i.e.

These terms are not interchangeable:

"e.g." (exempli gratia) means "for example"

"i.e." (id est) means "that is."

These terms are not italicized, and a comma should follow the last period (e.g., and i.e.,).

Fiscal Year

When accompanied by the year, the term "fiscal year" should always be capitalized (e.g., Fiscal Year 2011). It should not be capitalized when used generally. Additionally, if the term is used multiple times throughout the document, it should be written out in full on first usage, followed by (FY). Subsequent mentions should use FY followed by one space and the four digit year (e.g., FY 2011).

Phrases to Avoid

Whenever possible, do not use the phrase "as you know/as you are aware." If the recipient already knows the information, there is no need to include it in the response.

Plurals and Possessives

Pay particular attention to plurals and possessives, making certain not to confuse the two. Possessives call for an apostrophe; plurals do not.

Similar Words

Always double check usage.

Accept/except – accept means to receive; except means to exclude.

Advice/advise – advice is a noun; advise is a verb.

Affect/effect – generally, affect will be used as a verb meaning "to influence." Effect is generally a noun, meaning "result."

Council/counsel – council is a noun referring to a body of people; counsel is often a verb meaning to give advice. Counsel can also be a noun referring to a person who gives advice (e.g., legal counsel).

Capitol/capital – capitol refers to the building where the legislative body meets (e.g., U.S. Capitol, Capitol Hill); capital refers to the seat of government (e.g., the capital of Virginia is Richmond).

Ensure/insure – ensure means to make certain; insure should only be used in the context of insurance (car, fire, health, etc.).

United States

When used as a noun, always spell out "United States."

These individuals are seeking to enter the United States.

When used as an adjective, "U.S." may be used, even on first usage.

They are now U.S. citizens.

We do not typically use "U.S." before "Department of Homeland Security;" however, it is used with U.S. Citizenship and Immigration Services, U.S. Customs and Border Protection, and U.S. Immigration and Customs Enforcement (ICE).

Words to Avoid

Moreover, furthermore, etc. – avoid using filler words like this.

Congressman/Congresswoman/Congressperson – DHS uses the term "Representative."

Concerns, regarding, expressing, in regards to – avoid using redundant words, especially in the opening of the letter. Only one is necessary.

Correct - Thank you for your letter regarding…

Incorrect - Thank you for your letter expressing concerns regarding…

Impact – this word should never be used as a verb

Correct - The decision will have an impact on the organization.

Incorrect - The decision impacts the organization.

Post Script – Do not include a Post Script (P.S.) at the end of correspondence.

SECTION 5.4: DHS PREFERENCES/NOMENCLATURE

Component Order

Below is the order in which DHS Components should appear when listed in memoranda (on the To, From, and cc lines, or Distribution lists), correspondence (on the cc line), or other official materials. This is to ensure the consistency of official materials only. The order of this list does not represent seniority or the order of succession or delegation of the Department.

- Secretary
- Deputy Secretary
- Chief of Staff
- Under Secretary for Science and Technology
- Under Secretary for Management
- Under Secretary for National Protection and Programs
- Under Secretary for Intelligence and Analysis
- Commissioner, U.S. Customs and Border Protection
- Commandant, United States Coast Guard
- Director, United States Secret Service
- Director, U.S. Citizenship and Immigration Services
- Director, Federal Emergency Management Agency
- Assistant Secretary (Administrator), Transportation Security Administration
- Assistant Secretary (Director), U.S. Immigration and Customs Enforcement
- General Counsel
- Inspector General
- Deputy Chief of Staff
  (by date of appointment if more than one - alphabetical if date of appointment is the same)
- Senior Counselor to the Secretary
  (by date of appointment if more than one - alphabetical if date of appointment is the same)
- Senior Counselor to the Deputy Secretary
- Counselor to the Secretary
  (by date of appointment if more than one - alphabetical if date of appointment is the same)
- Counselor to the Deputy Secretary
  (by date of appointment if more than one - alphabetical if date of appointment is the same)
- Executive Secretary
- Director, Federal Law Enforcement Training Centers
- Director, Domestic Nuclear Detection Office
- Assistant Secretary for Policy
- Assistant Secretary for Legislative Affairs
- Assistant Secretary for Public Affairs
- Assistant Secretary for Intergovernmental Affairs
- Assistant Secretary for Health Affairs (A/S and Chief Medical Officer)
- Director, Operations Coordination and Planning
- Officer for Civil Rights and Civil Liberties
- Chief Privacy Officer
- U.S. Citizenship and Immigration Services Ombudsman
- Law Enforcement Advisor to the Secretary
- Military Advisor to the Secretary
- Chief Diplomatic Officer (if not also serving as the Assistant Secretary for Policy)

DHS-Specific Nomenclature

The Department of Homeland Security's organizational acronym is DHS.
Each Component of DHS has its own organizational acronym (reference Appendix B).

The Office of the Executive Secretary is ESEC and that acronym is specific for that office. Component Executive Secretariats may not be referred to as the Component ESEC; they are the Component Executive Secretariat;

e.g., ICE Executive Secretariat or ICE Exec Sec.

The Secretary's title is Secretary of Homeland Security, not Secretary, Department of Homeland Security (similar to Secretary of State, Secretary of Defense, Secretary of the Treasury).

"Component" (always capitalized) is the term used for organizational elements in the Department whose head reports directly to the Executive Leadership. It does not matter whether they are offices, directorates, or agencies.

OGC, I&A, MGMT, ESEC, and ICE are referred to as "Components."

Use a slash to show Component/subcomponent relationships, e.g., CBP/OFO for U.S. Customs and Border Protection's Office of Field Operations.

Always capitalize proper nouns. When using a noun that is a well-known short form of a proper noun it should also be capitalized.

e.g., the Department, Headquarters.

Specific Words

DHS uses this spelling of: Email/email, Website/website.
Do not use: e-mail, Web site, web site, web-site.

Write out the word percent. Use a percent sign (%) only within a table or chart.

SECTION 6: TEMPLATES

- Correspondence Cover Memo
- Action/Decision Memo
- Information Memorandum – Responding to Request
- Information Memo – Voluntary
- Letter Template
- Enclosure Template
- Briefing Memo Template
- Talking Points Template
- Biography Template

Correspondence Cover Memo Template

- **To be sent to ESEC with proposed responses or voluntary letters drafted for S1, S2, A/S OLA, A/S IGA or Component Head signature. If the draft letter has been prepared for S1 or S2 signature, the cover memo is addressed to S1 or S2, requesting signature. If the draft letter is for A/S OLA, A/S IGA or Component Head signature, the cover memo should be addressed to the Chief of Staff to obtain approval.**
- Memos for S1 or S2 must be signed by the Component Head. Component Heads may not delegate this authority to their Deputy or Chief of Staff.
- Components must provide a dated and signed cover memo with all draft letters for approval and/or signature.
- To accommodate, **Times New Roman 13 pt. font**, margins are 1.0 top and left; 0.9 right and bottom. Single-spaced text and double-spaced between headings and text; line spaces may be 10, 11, 12 or 13 point. To the extent possible and reasonable, enclosures should be in Times New Roman 13 point, as well.

Date

MEMORANDUM FOR THE SECRETARY (or THE DEPUTY SECRETARY, CHIEF OF STAFF)

FROM: Component Head Name
Title (if not on the letterhead)

SUBJECT: **Request for Signature [or Approval]: Response to [name of incoming sender(s)]'s [date of incoming] letter regarding [principal issue] (WF#)**

Context: Provide a short summary of the response or clarify the current state of play. What might the Secretary/Deputy Secretary need to know to sign the response? If the response does not answer any of the incoming's questions or requests, please explain.

OGC/Chief Counsel Coordination: The Office of General Counsel requires that Components coordinate drafts with their Component Counsel and recommend that this section read: This document has been reviewed in its entirety for legal sufficiency by [name(s) of the attorney(s)/legal division with which the letter was coordinated], and it has not been substantially changed since his/her review. If the attorney has coordinated only on specific portions of the document, please indicate which portions.

Clearance: Please list (1) all Components that ESEC assigned to clear; (2) the name of the person at the Chief of Staff-level or above who cleared for that Component; (3) the date of clearance; and (4) any special notes. Clearing Components have requested that you allow up to 48 hours for their clearance.

Component: COS [name], cleared, 3/18/14, w/comment.
Component: COS [name], cleared, 3/19/14.
Component: DCOS [name], cleared 3/19/14, with edits.

Timeliness: If draft response will not be provided to ESEC by the tasked date, please indicate the ***substantive*** reason. Also, use this section to identify any time sensitivity or deadline for completion. Is there a charter that will expire or an upcoming meeting? Otherwise, please indicate: There are no timeliness concerns related to this letter which has been fully cleared and is being submitted to ESEC within the eight business day standard. (Please only use this statement if ESEC is receiving the draft in the allotted time.)

Transmittal: Please indicate any special instructions for transmittal of the signed response. Components are responsible for transmitting responses signed by their Component Heads. OLA will transmit congressional letters signed by S1 or S2. Letters to state and local officials will be transmitted by IGA. Letters to international stakeholders must indicate PLCY/Office of International Engagement's intent to email or hand-deliver the letter or request that ESEC mail the hard copy. If there are no special transmittal instructions, you may omit this section.

Action [or Decision] Memo Template

- To accommodate **Times New Roman 13-pt. font**, margins are 1.0 top and left; 0.9 right and bottom. Single-spaced text and double-spaced between headings and text; between paragraphs you may use 10, 11, 12 or 13 pt.
- The date and the word "Action" (or "Decision") are centered. Paragraphs are not indented, nor right justified.
- The sender should sign or initial by his/her name. The "through" person should also sign or initial.
- Memos for the Secretary or Deputy Secretary must be signed by the Component Head. Component Heads may not delegate this authority to their Deputy or Chief of Staff.

Date

ACTION (or DECISION)

MEMORANDUM FOR THE SECRETARY (OR THE DEPUTY SECRETARY)

THROUGH: (if applicable)

FROM: Component Head Name
Title (if not on the letterhead)

SUBJECT: **Boldfaced; no acronyms in subject; do not underline bold type**

Purpose: The first paragraph should state the purpose of the memorandum, or why the issue requires a decision and is being brought to the attention of the recipient.

Background or Context: This is a brief summary of factors to be considered in making a decision, the issue's historical background, and its current status. ESEC encourages you to use plain writing in preparing memos for the Secretary, using short, concise sentences. Identify legislative or other underlying requirements.

Please present options for resolution and explain the implications of those options. Include internal input, Component equities, and clearances, including any supporting and opposing viewpoints. If the issue is particularly complex, additional background may be provided as numbered attachments.

Timeliness: Is there a key action that is awaiting this decision? Is the decision required by a certain date? If so, please explain. Do not include this section if it is not relevant.

Recommendation: Please provide a clear recommendation of specific action(s) requested of the Secretary or Deputy Secretary or a clear set of options. The memorandum should close with:

Approve/date_________________________ Disapprove/date_____________________

Modify/date ______________________ Needs discussion/date____________________

Information Memo Template: Responding to an S1/S2 Request

- Use this format to respond to an inquiry from S1 or S2.
- To accommodate **Times New Roman 13 pt text font**, margins may be 1.0 left and top; 0.9 right and bottom, single-spaced text, double-spaced between heading and text and between paragraphs, **not** indented or right justified. Line spaces may be 10, 11, 12 or 13 point. The date and "INFORMATION" are centered.
- The sender should sign or initial by his/her name. The "through" person should also sign or initial.
- Memos for the Secretary or Deputy Secretary must be signed by the Component Head. Component Heads may not delegate this authority to their Deputy or Chief of Staff.

Date

INFORMATION

(Use this format to **respond to a request** from S1 or S2,
whether the request was in writing or in follow-up to a meeting.)

MEMORANDUM FOR THE SECRETARY (OR THE DEPUTY SECRETARY, etc.)

THROUGH: (if applicable)

FROM: Sender's Name
Title (if not already on letterhead)

SUBJECT: **Boldfaced; no acronyms in subject; do not underline bold type**

Purpose: "During our meeting on, you asked..." or "After reviewing X document, you requested...." Information should be clear and concise. Include the date of the request and any other important background.

Context and equities: Respond to the inquiry fully but succinctly. Keep the response at a high level avoiding technical jargon, except when central to the response. The information here must explain concisely the scope of the issue and the DHS context.

Because they are not cleared, information memoranda should not be used to make policy or elicit decisions, even indirectly.

Timeliness: Are there any upcoming decisions or actions that will need to be taken in relation to this subject? If this is not relevant, you may omit this section.

cc: On an internal memo, show names and titles or just titles.

Attachment(s): if applicable.

Information Memo Template: **Voluntary Paper**

- An information memo does not seek a decision.
- To accommodate Times New Roman **13 pt** text font, margins may be 1.0 left and top; 0.9 right and bottom, single-spaced text, double spaced between heading and text and between paragraphs, **not** indented or right justified. Line spaces may be 10, 11, 12 or 13 point. The date and "INFORMATION" are centered.
- The sender should sign or initial by his/her name. The "through" person should also sign or initial.
- Memos for the Secretary or Deputy Secretary must be signed by the Component Head. Component Heads may not delegate this authority to their Deputy or Chief of Staff.

Date

INFORMATION

(Use this format to provide **voluntary** information, i.e. initiated by the Component)

MEMORANDUM FOR THE SECRETARY (OR THE DEPUTY SECRETARY, etc.)

THROUGH: (if applicable)

FROM: Sender's Name
Title (if not already on letterhead)

SUBJECT: **Boldfaced; no acronyms in subject; do not underline bold type**

Purpose: This paragraph should introduce or summarize an important policy development not otherwise available through regular meetings or reports. Or this memorandum may provide information in follow-up to a recent event, such as "To analyze the differences among positions taken with respect to . . ." or "To update you on the status of . . . ."

Context and DHS Equities: The information here must explain, concisely, the relevant issue and the DHS context. Why is it important for the Secretary or Deputy Secretary to learn about this issue? Please provide sufficient commentary/clarification. Because they are not cleared, information memoranda should not be used to make policy or elicit decisions, even indirectly.

Component Coordination: If another Component has significant equities in the subject, please coordinate and indicate the person(s) of the office(s) with which you have coordinated. If this is not relevant, you may omit this section.

Timeliness: Please discuss, if relevant, why it is this timely for the Secretary or Deputy Secretary to learn about now. If this is not relevant, you may omit this section.

cc: On an internal memo, show names and titles or just titles. Please make sure these are accurate.

Attachment(s): if applicable.

ESEC will put final letter on appropriate letterhead.

Secretary
U.S. Department of Homeland Security
Washington, DC 20528

Homeland Security

Date is 5 tabs from margin, in line with signature block, and equidistant from letterhead and address.

January 25, 2015

Name of Recipient
Title (if applicable)
Organization
Address

The Honorable Ron Wyden
United States Senate
Washington, DC 20510

Spell out state names (except DC) and insert two spaces between state and zip code.

|1 line|

Dear Senator Wyden:

|1 line|

All text should be Times New Roman, 13-pt. font, single spaced.

|1 tab| Thank you for your letter of February 1, 2015.

|1 line|

|1 tab| [Body of the letter – Use this section to thoroughly respond to the issue(s) contained in the incoming. Ensure that all issues have been addressed. This section may include a brief summary of the issue and any background if necessary. If the response is detailed and/or lengthy, this section should be a succinct overview of the issue(s) and DHS position. The more detailed response or relevant background information should be included as a white paper enclosure.]

Two spaces after period.

|1 line|

|1 tab| I appreciate your continued support for DHS and [relevant Component]. The co-signers of your letter will receive separate, identical responses. Should you wish to discuss this matter further, please do not hesitate to contact me.

For multiple originators.

Appropriate closing language.

|1 line|

Five tabs over from margin, using appropriate closing.

Sincerely,

Four lines down (five returns after closing).

Jeh Charles Johnson

Enclosure(s)

Margins - 1" on all sides. Bottom and right margin can be 0.9" as needed.

Enclosure Template

- To accommodate Times New Roman 13-pt. font, margins are 1.0" top and left; 0.9" right and bottom. Single-spaced text and double-spaced between headings and text; between paragraphs you may use 10, 11, 12 or 13 pt. Headers, footers and footnotes may be no smaller than 10-point font.
- Please remember that a memo has attachments and letters have enclosures.
- This template is an example of an enclosure responding to numbered questions. For other types of enclosures, please adapt this template to the purpose.

Response to Chairman McCaul's letter concerning [Subject]
The title of the enclosure is centered, bold and written in upper and lower case.

1. The question should be typed in bold italics, using wording and spelling exactly as presented in the incoming letter.

This is how the text of the proposed response would appear.

2. Questions should follow in order using the same format.

This is where your next answer goes. If more than one page, please number the pages in the footer.

FOR OFFICIAL USE ONLY
BRIEFING MEMO TEMPLATE FOR THE SECRETARY/DEPUTY SECRETARY

NAME OF MEETING
Date of Meeting

NOTE: Briefing memo is a maximum of two pages. ESEC will edit all briefings to ensure compliance.

Overview:
- This section should be the highlights of the briefing memo. No more than four bullets.
- Who, What, When, Where (Logistics).
- Include overall goals of the meeting and any asks of the meeting participant(s).
- Participants. You will be meeting with ________ and ________. You will be staffed by COS Christian Marrone and A/S ______________. A full list of participants is below.

Event Demographics/Venue Information **(For remarks, both open and closed press)**
- Estimated Size of Audience
- Audience Composition – describe background and nature of attendees.
- Venue and Size – describe room, layout
- Describe Unique Variables – (e.g., CSPAN live; giant screen simulcast; webcast/live streaming, etc.).
- Confirm open or closed press

Discussion Points: (For all meetings)
- Express main arguments and points that support achieving the overall goals of the meeting as identified in the Overview section.
- **Do not** provide a script as if Secretary will be reading word for word.

Background: (Bullets)
- Last meeting/interaction with DHS.
- Please include issues that meeting participants are likely to raise with S1/S2. For example: "Delta's CEO is concerned about new fees." Please do not include background information S1 already has. Always use plain language.
- Summary of key information/issues to be raised (include the status of any related negotiations or ongoing legal proceedings). Issues should be clearly defined without pleasantries, nuances, or unnecessary verbosity.
  - Keep in mind that these materials are for the Department's most senior leadership—tell them what they need to know in as concise a paper as possible. Materials should be written at the Principal level.
    - Do not skirt tough issues.

- Use bullets as above (solid circle, arrow, solid square, open circle).

Participants: (Please re-identify all participants, even those listed in the overview section)
Secretary Johnson
Name, Organization *(Internal Participants should be listed first)*

Attachments: (Critical items only. Any attachments longer than 10 pages will not be included, instead please provide a one page executive summary)
A. Talking Points or Remarks (*talking points for external meetings; remarks for podium*)
B. Agenda or Additional Materials
C. Biographies *(Principals only; limit to one page each)*

Staff Responsible for Briefing Memo: Staff-level Drafter, Title, Phone Number.

NAME OF MEETING
Talking Points

- Talking points should be provided for all external meetings. This document should be "Attachment A" on your briefing memo.
- Talking points should be in the third person. Though this document should be more detailed and specific than the "Discussion Points" section of a briefing memo, do not provide a script as if the Secretary will be reading word-for-word (e.g., "Thanks XXX for…" "Inform XXX that…").
- Express thanks and other needed pleasantries with participants.
- Indicate conversational points the Secretary needs to make in advancement of goals indicated in the briefing memo.
- Include appropriate responses to topics likely to arise from other participants.

Name
(phonetic pronunciation, if necessary)
Title, Organization

Please use paragraph format, not bullet points. Biographies should never be more than one page; half a page is ideal. A biography from the participant's professional website is acceptable, but please be sure it is formatted appropriately.

Please do not provide biographies for individuals the Secretary already knows, such as other Cabinet Secretaries. Biographies are only necessary for key participants.

SECTION 7: PLAIN LANGUAGE

On October 13, 2010, President Obama signed the Plain Writing Act of 2010 into law. The purpose of the Act is *"to improve the effectiveness and accountability of Federal agencies to the public by promoting clear Government communication that the public can understand and use."* This law changed how the Federal Government communicates with the public and all government agencies are expected to adhere to the Plain Writing Act guidance.

DHS has a vast mission and a dedicated responsibility to secure the safety of the American people. In light of our responsibility to national priorities such as emergency preparedness, cyber security, immigration, travel, and international trade, it is paramount that DHS present information effectively and efficiently.

PLAIN LANGUAGE CHECKLIST

Does the document:

Address the average reader?

> Know the expertise and interest of your average reader, and write to that person. Do not write to the experts, the lawyers, or your management, unless they are your intended audience.

Serve the reader's needs?

> Organize your content in the order the reader needs — the two most useful organization principles, which are not mutually exclusive, are to put the most important material first, exceptions last; or to organize material chronologically.

Have useful headings?

> Headings help the reader find the way through your material. Headings should capture the essence of all the material under the heading — if they do not, you need more headings! You should have one or more headings on each page.

Use "you" and other pronouns to speak to the reader?

> Using pronouns pulls the reader into the document and makes it more meaningful to him. Use "you" for the reader ("I" when writing question headings from the reader's viewpoint) and "we" for your agency.

Use active voice?

> Using active voice clarifies who is doing what; passive obscures it. Active voice is generally shorter, as well as clearer. Changing our writing to prefer active voice is the single most powerful change we can make in government writing. Active sentences are structured with the actor first (as the subject), then the verb, then the object of the action.

Use short sections and sentences?

> Using short sentences, paragraphs and sections helps your reader get through your material. Readers get lost in long dense text with few headings. Chunking your material also inserts white space, opening your document visually and making it more appealing.

Use the simplest tense possible?

The simplest verb tense is the clearest and strongest. Use simple present whenever possible — Say, "We issue a report every quarter," not "We will be issuing a report every quarter."

Use base verbs?

Use base verbs, not nominalizations — also called "hidden verbs." Government writing is full of hidden verbs. They make our writing weak and longer than necessary. Say "we manage the program" and "we analyze data" not "we are responsible for management of the program" or "we conduct an analysis of the data."

Omit excess words?

Eliminate excess words. Challenge every word — do you need it? Pronouns, active voice, and base verbs help eliminate excess words. So does eliminating unnecessary modifiers — in "HUD and FAA issued a joint report" you don't need "joint." In "this information is really critical" you do not need "really."

Use concrete, familiar words?

You don't impress people by using big words, you just confuse them. Define (and limit) your abbreviations. Avoid jargon, foreign terms, Latin terms, and legal terms. Avoid noun strings.

Use "must" to express requirements and avoid the ambiguous word "shall."

Use "must" not "shall" to impose requirements. "Shall" is ambiguous, and rarely occurs in everyday conversation. The legal community is moving to a strong preference for "must" as the clearest way to express a requirement or obligation.

Place words carefully?

Placing words carefully within a sentence is as important as organizing your document effectively. Keep subject, verb, and object close together. Put exceptions at the end. Place modifiers correctly — "we want only the best" not "we only want the best."

Use lists and tables to simplify complex material?

You can shorten and clarify complex material by using lists and tables. And these features give your document more white space, making it more appealing to the reader.

Use no more than two or three subordinate levels?

Readers get lost when you use more than two or three levels in a document. If you find you need more levels, consider sub-dividing your top level into more parts.

WORD SUBSTITUTION

INSTEAD OF	TRY
a and/or b	a or b or both
accompany	go with
accomplish	carry out, do
accorded	given
accordingly	so
accrue	add, gain
accurate	correct, exact, right
additional	added, more, other
address	discuss
addressees	you
addressees are requested	(omit), please
adjacent to	next to
advantageous	helpful
adversely impact on	hurt, set back
advise	recommend, tell
afford an opportunity	allow, let
aircraft	plane
allocate	divide
anticipate	expect
a number of	some
apparent	clear, plain
appreciable	many
appropriate	(omit), proper, right
approximate	about
arrive onboard	arrive
as a means of	to
ascertain	find out, learn
as prescribed by	in, under
assist, assistance	aid, help
attain	meet
attempt	try
at the present time	at present, now
be advised	(omit)
benefit	help
by means of	by, with
capability	ability
caveat	warning
close proximity	near
combat environment	combat
combined	joint

INSTEAD OF	TRY
commence	begin, start
comply with	follow
component	part
comprise	form, include, make up
concerning	about, on
consequently	so
consolidate	combine, join, merge
constitutes	is, forms, makes up
contains	has
convene	meet
currently	(omit), now
deem	believe, consider, think
delete	cut, drop
demonstrate	prove, show
depart	leave
designate	appoint, choose, name
desire	want, wish
determine	decide, figure, find
disclose	show
discontinue	drop, stop
disseminate	give, issue, pass, send
due to the fact that	due to, since
during the period	during
effect modifications	make changes
elect	choose, pick
eliminate	cut, drop, end
employ	use
encounter	meet
endeavor	try
ensure	make sure
enumerate	count
equipments	equipment
equitable	fair
establish	set up, prove, show
evidenced	showed
evident	clear
exhibit	show
expedite	hasten, speed up
expeditious	fast, quick
expend	spend
expertise	ability

INSTEAD OF	TRY
expiration	end
facilitate	ease, help
failed to	didn't
feasible	can be done, workable
females	women
finalize	complete, finish
for a period of	for
for example,______etc.	for example, such as
forfeit	give up, lose
forward	send
frequently	often
function	act, role, work
furnish	give, send
has a requirement for	needs
herein	here
heretofore	until now
herewith	below, here
however	but
identical	same
identify	find, name, show
immediately	at once
impacted	affected, changed
implement	carry out, start
in accordance with	by, following, per, under
in addition	also, besides, too
in an effort to	to
inasmuch as	since
in a timely manner	on time, promptly
inception	start
incumbent upon	must
indicate	show, write down
indication	sign
initial	first
initiate	start
in lieu of	instead
in order that	for, so
in order to	to
in regard to	about, concerning, on
in relation to	about, with, to
inter alia	(omit)

INSTEAD OF	TRY
interface	meet, work with
interpose no objection	don't object
in the amount of	for
in the event of	if
in the near future	shortly, soon
in the process of	(omit)
in view of	since
in view of the above	so
is applicable to	applies to
is authorized to	may
is in consonance with	agrees with, follows
is responsible for	(omit) handles
it appears	seems
it is	(omit)
it is essential	must, need to
it is requested	we request, I request
liaison	discussion
limited number	limits
magnitude	size
maintain	keep, support
maximum	greatest, largest, most
methodology	method
minimize	decrease, method
minimum	least, smallest
modify	change
monitor	check, watch
necessitate	cause, need
notify	let know, tell
not later than 10 May	by 10 May, before 11 May
not later than 1600	by 1600
notwithstanding	inspite of, still
numerous	many
objective	aim, goal
obligate	bind, compel
observe	see
on a __________basis	(omit)
operate	run, use, work
optimum	best, greatest, most
option	choice, way
parameters	limits

INSTEAD OF	TRY
participate	take part
perform	do
permit	let
pertaining to	about, of, on
portion	part
possess	have, own
practicable	practical
preclude	prevent
previous	earlier
previously	before
prioritize	rank
prior to	before
proceed	do, go ahead, try
procure	(omit)
proficiency	skill
promulgate	issue, publish
provide	give, offer, say
provided that	if
provides guidance for	guides
purchase	buy
pursuant to	by, following, per
reflect	say, show
regarding	about, of, on
relative to	about, on
relocate	move
remain	stay
remain	stay
remainder	rest
remuneration	pay, payment
render	give, make
represents	is
request	ask
require	must, need
requirement	need
reside	live
retain	keep
said, some, such	the, this, that
selection	choice
set forth in	in

INSTEAD OF	TRY
similar to	like
solicit	ask for, request
state-of-the-art	latest
subject	the, this, your
submit	give, send
subsequent	later, next
subsequently	after, later, then
substantial	large, much
successfully complete	complete, pass
sufficient	enough
take action to	(omit)
terminate	end, stop
the month of	(omit)
there are	(omit)
therefore	so
therein	there
there is	(omit)
thereof	its, their
the undersigned	I
the use of	(omit)
this activity, command	us, we
timely	prompt
time period	(either one)
transmit	send
type	(omit)
under the provisions of	under
until such time as	until
utilize, utilization	use
validate	confirm
viable	practical, workable
vice	instead of, versus
warrant	call for, permit
whereas	because, since
with reference to	about
with the exception of	except for
witnessed	saw
your office	you
/ (slash)	and, or

SECTION 8: RESOURCES & REFERENCES

Below are some helpful resources that may be utilized for the preparation of documents within DHS:

Books

GPO Style Guide
The Protocol Book
Elements of Style
The Bluebook, A Uniform System of Citation

Websites

DHS Connect
DHS.gov
PLAIN
Council of Federal Executive Secretariats: http://www.execsec.gov/
Online dictionaries
Grammar websites
http://www.usingenglish.com/glossary/

Thomas – http://thomas.loc.gov/home/thomas.php

This is the website of the Library of Congress. It helps you search all legislation and has links to all congressional committees and all Members' personal websites.

SECTION 9: APPENDIX LIST

A. Acronym, Abbreviation, and Definition List
B. DHS Component/Directorate Areas of Responsibility
C. Memoranda from the Chief of Staff
Secretary's Guidance on Responding to Members of Congress,
February 7, 2014 memorandum
Secretary's Guidance on Daily Briefing Books and Information Memoranda,
February 19, 2014 memorandum
D. Guidelines for Preparing Congressional Reports
E. DHS Management Directive 140-01, "Information Technology System Security"
  i. DHS Sensitive Systems Policy Directive 4300A

APPENDIX A: ACRONYM, ABBREVIATION, AND DEFINITION LIST

The following acronyms and abbreviations are used in the Executive Correspondence Handbook.

A-Number	Alien Registration Number
BBIC	Briefing Book and Interagency Coordination
CA	Congressional Actions
CBP	U.S. Customs and Border Protection
CBP/OFO	U.S. Customs and Border Protection's Office of Field Operations
cc	Carbon or Courtesy Copy
CEO	Chief Executive Officer
Component	Department of Homeland Security's agencies and directorates
COS	Chief of Staff
DC	Deputies Committee
DC	District of Columbia
DHS	Department of Homeland Security
DOS	Department of State
ESEC	Office of the Executive Secretary
Executive Leadership	Refers to the Offices of the Secretary, Deputy Secretary, and Chief of Staff of Homeland Security collectively
FACA	Federal Advisory Committee Act
FEMA	Federal Emergency Management Agency
FOIA	Freedom of Information Act
FOUO	For Official Use Only

FY	Fiscal Year
GAO	Government Accountability Office
GPO	Government Printing Office
HSC	Homeland Security Council
I&A	Office of Intelligence and Analysis
ICE	U.S. Immigration and Customs Enforcement
IGA	Intergovernmental Affairs
IPC	Interagency Policy Committee
IQ	Intranet Quorum
JWICS	Joint Worldwide Intelligence Communications System
MGMT	Management Directorate
NAC	Nebraska Avenue Complex
NPPD	National Protection and Programs Directorate
NSC	National Security Council
NSSE	National Special Security Event
OCFO	Office of the Chief Financial Officer
OGC	Office of General Counsel
OIG	Office of the Inspector General
OLA	Office of Legislative Affairs
OMB	Office of Management and Budget
OPS	Office of Operations Coordination and Planning
ORM	White House Office of Records Management

P.S.	Post Script
PC	Principals Committee
PED	Portable Electronic Device
PII	Personally Identifiable Information
PLCY	Office of Policy
PLCY/OIE	Office of Policy's Office of International Engagement
QFR	Questions for the Record
S1	The Secretary
S2	The Deputy Secretary
SOC	Summary of Conclusions
SORN	Systems of Records Notice
The Department	Department of Homeland Security
TSA	Transportation Security Agency
U.S.	United States
USCG	United States Coast Guard
USCIS	United States Citizenship and Immigration Services
WAG	Widely Attended Gathering
WF	Workflow
WHIA	White House and Interagency Actions
WHSR	White House Situation Room

APPENDIX B: DHS COMPONENTS AND DIRECTORATES

The following list contains the components, directorates and offices that currently make up the Department of Homeland Security.

Citizenship and Immigration Services Ombudsman (CISOMB)
Provides recommendations for resolving individual and employer problems with the United States Citizenship and Immigration Services in order to ensure national security and the integrity of the legal immigration system, increase efficiencies in administering citizenship and immigration services, and improve customer service.
CISOMB Organizational Chart

Civil Rights and Civil Liberties (CRCL)
Provides legal and policy advice to Department leadership on civil rights and civil liberties issues, investigates and resolves complaints, and provides leadership to Equal Employment Opportunity Programs.
CRCL Organizational Chart

Domestic Nuclear Detection Office (DNDO)
Works to enhance the nuclear detection efforts of federal, state, territorial, tribal, and local governments, and the private sector and to ensure a coordinated response to such threats.
DNDO Organizational Chart

Federal Emergency Management Agency (FEMA)
Supports our citizens and first responders to ensure that as a nation we work together to build, sustain, and improve our capability to prepare for, protect against, respond to, recover from, and mitigate all hazards.
FEMA Organizational Structure

Federal Law Enforcement Training Center (FLETC)
Provides career-long training to law enforcement professionals to help them fulfill their responsibilities safely and proficiently.
FLETC Organizational Chart

Management Directorate (MGMT)
Responsible for Department budgets and appropriations, expenditure of funds, accounting and finance, procurement; human resources, information technology systems, facilities and equipment, and the identification and tracking of performance measurements.
MGMT Organizational Chart

National Protection and Programs Directorate (NPPD)
Works to advance the Department's risk-reduction mission. Reducing risk requires an integrated approach that encompasses both physical and virtual threats and their associated human elements.
NPPD Organizational Chart

Office of the Chief Financial Officer (OCFO)
We will ensure the funds necessary to carry out the Department's mission are obtained and spent efficiently and effectively in support of the Department's priorities and in accordance with laws and policies.

OFCO Organizational Chart

Office of the Chief Privacy Officer (PRIV)
Works to preserve and enhance privacy protections for all individuals, to promote transparency of Department of Homeland Security operations, and to serve as a leader in the privacy community.

PRIV Organizational Chart

Office of the Executive Secretary (ESEC)
Provides all manner of direct support to the Secretary and Deputy Secretary, as well as related support to leadership and management across the Department. Responsible for the accurate and timely dissemination of information and written communications from throughout the Department and our homeland security partners to the Secretary and Deputy Secretary.

ESEC Organizational Chart

Office of the General Counsel (OGC)
Integrates approximately 1700 lawyers from throughout the Department into an effective, client-oriented, full-service legal team and comprises a headquarters office with subsidiary divisions and the legal programs for eight Department Components. The Office of the General Counsel includes the ethics division for the Department.

OGC Organizational Chart

Office of Health Affairs (OHA)
Coordinates all medical activities of the Department of Homeland Security to ensure appropriate preparation for and response to incidents having medical significance.

OHA Organizational Chart

Office of Inspector General (OIG)
Responsible for conducting and supervising audits, investigations, and inspections relating to the programs and operations of the Department, recommending ways for the Department to carry out its responsibilities in the most effective, efficient, and economical manner possible.

OIG Organizational Chart

Office of Intelligence and Analysis (I&A)
Responsible for using information and intelligence from multiple sources to identify and assess current and future threats to the United States.

I&A Organizational Chart

Office of Intergovernmental Affairs (IGA)
Promotes an integrated national approach to homeland security by ensuring, coordinating, and advancing federal interaction with state, local, tribal, and territorial governments.

IGA Organizational Chart

Office of Legislative Affairs (OLA)
Serves as primary liaison to Members of Congress and their staffs, the White House and Executive Branch, and to other federal agencies and governmental entities that have roles in assuring national security.

OLA Organizational Chart

Office of the Military Advisor (MIL)
Advises on facilitating, coordinating and executing policy, procedures, preparedness activities and operations between the Department and the Department of Defense.

MIL Organizational Chart

Office of Operations Coordination and Planning (OPS)
Responsible for monitoring the security of the United States on a daily basis and coordinating activities within the Department and with governors, Homeland Security Advisors, law enforcement partners, and critical infrastructure operators in all 50 states and more than 50 major urban areas nationwide.

OPS Organizational Chart

Office of Policy (PLCY)
The primary policy formulation and coordination Component for the Department of Homeland Security. PLCY provides a centralized, coordinated focus to the development of Department-wide, long-range planning to protect the United States.

PLCY Organizational Chart

Office of Public Affairs (OPA)
Coordinates the public affairs activities of all of the Department's Components and offices, and serves as the federal government's lead public information office during a national emergency or disaster. Led by the Assistant Secretary for Public Affairs, it comprises the press office, incident and strategic communications, speechwriting, Web content management, and employee communications.

OPA Organizational Chart

Science and Technology Directorate (S&T)
The primary research and development arm of the Department. It provides federal, state, and local officials with the technology and capabilities to protect the homeland.

S&T Organizational Chart

Transportation Security Administration (TSA)
Protects transportation systems within the United States to ensure the freedom of movement for people and commerce.

TSA Organizational Chart

United States Citizenship and Immigration Services (USCIS)
Secures America's promise as a nation of immigrants by providing accurate and useful information to customers, granting immigration and citizenship benefits, promoting an understanding of citizenship, and ensuring the integrity of our immigration system.

USCIS Organizational Chart

United States Coast Guard (USCG)
One of the five armed forces of the United States and the only military organization within the Department of Homeland Security. The Coast Guard protects the maritime economy and the environment, defends our maritime borders, and saves those in peril.
USCG Organizational Chart

United States Customs and Border Protection (CBP)
One of the Department of Homeland Security's largest and most complex Components. Responsible for keeping terrorists and their weapons out of the United States, securing and facilitating trade and travel, and enforcing hundreds of U.S. regulations, including immigration and drug laws.
CBP Organizational Chart

United States Immigration and Customs Enforcement (ICE)
Promotes homeland security and public safety through the criminal and civil enforcement of federal laws governing border control, customs, trade, and immigration.
ICE Organizational Chart

United States Secret Service (USSS)
Safeguards the nation's financial infrastructure and payment systems to preserve the integrity of the economy, and protects national leaders, visiting heads of state and government, designated sites, and National Special Security Events.
USSS Organizational Chart

APPENDIX C:
MEMORANDA FROM THE CHIEF OF STAFF

SECRETARY'S GUIDANCE ON RESPONDING TO MEMBERS OF CONGRESS, FEBRUARY 7, 2014 MEMORANDUM

SECRETARY'S GUIDANCE ON DAILY BRIEFING BOOKS AND INFORMATION MEMORANDA, FEBRUARY 19, 2014 MEMORANDUM

Chief of Staff
U.S. Department of Homeland Security
Washington, DC 20528

Homeland Security

February 7, 2014

MEMORANDUM FOR COMPONENT HEADS

From: Christian Marrone
Chief of Staff

Subject: Secretary's Guidance on Responding to Members of Congress

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Secretary Johnson expects the Department to respond to Congress in a direct, courteous and timely manner. As a Component Head, you know the high priority the Secretary places on this issue and his expectation that you will be accountable for ensuring the accuracy and promptness of responses. This will enhance the Department's ability to work collaboratively with our congressional stakeholders and enable us to carry out the Department's mission.

To meet this goal, I have asked Executive Secretary (b)(6) to implement changes to the Department's existing procedures for congressional correspondence and to provide the Secretary with a daily status report. The Office of the Executive Secretary (ESEC) will continue to assign congressional correspondence addressed to the Secretary or Deputy Secretary to the DHS Component with primary responsibility for the subject of the letter. ESEC will task Components to prepare a draft response for the Secretary's or Deputy Secretary's signature or to prepare a response on behalf of the Secretary or Deputy Secretary, to be signed by Component leadership.

In addition, Components will be required to clear their own draft responses through other Components with equities *before* providing ESEC with a fully cleared, signature-ready Word document draft. The lead Component executive secretariat will indicate clearance at the Chief of Staff level or higher in the Department's correspondence database, known as IQ. I also ask that Operating Components ensure Chief Counsel review and indicate their clearance in the cover memo that accompanies the draft to be submitted to ESEC. ESEC will conduct a final substantive review and facilitate front office clearance.

Components will have eight (8) business days to draft and clear a document with other relevant Components. ESEC will have two (2) business days for final substantive review, packaging, and front office clearance. This process affords the Department a ten (10) business day response time from receipt of the inquiry to transmittal of the response to Congress.

If a Component recognizes that preparation of a complete answer will require additional time, the Component must draft a substantive interim response to the Member of Congress indicating the reason why more time is needed and the date by which the Department will provide the Member(s) our final response. The Component will send the proposed interim to ESEC for clearance by the Front Office. The Front Office will approve interim responses by exception; interim responses should not be considered pro forma.

Further, I am asking all Components to work collaboratively with one another and with ESEC to clear the existing backlog of all congressional correspondence by two weeks from the date of this memo. Importantly, going forward, **no response to Congress may exceed thirty (30) calendar days**. To help us maintain awareness of deadlines and any late items, I have asked ESEC to develop a tracking report which they will share with all Components and with the Front Office on a regular basis.

I expect Component leadership to apply the same timeliness and accountability standards when responding to inquiries addressed directly to them. ESEC will work with your Component executive secretariats to explain these requirements in greater detail and seek their collaboration to implement the new procedures. In accordance with the Plain Writing Act of 2010 (EO 12866), I encourage Components to use Plain Writing in their responses to all inquiries. If you have questions regarding this guidance, please contact Executive Secretary (b)(6) [redacted] at (b)(6) [redacted]

Thank you for your cooperation.

Guidance for Preparing Congressional Correspondence
For the Secretary and Deputy Secretary of Homeland Security

- All responses for the Secretary's or Deputy Secretary's signature and replies on their behalf should be completed and transmitted to the sender within 10 business days of receipt.

- In exceptional cases, when a complete answer cannot be provided within 10 business days, Components may propose a substantive draft interim response, including any information available. Interim responses must indicate when the sender should expect a final response. ESEC will review proposed interim responses and provide them to the Front Office for approval.

- A final response will be sent no later than 30 calendar days of receipt. In the final response, if you cannot provide information, say why. If information will be delayed, say when it will be available.

- If a Component identifies a misdirected assignment, they must contact ESEC and recommend alternate tasking within 24 hours of receipt.

- Please keep letters short; be direct and to the point using clear, concise and straightforward Plain language, eliminating extraneous information. If the response requires technical discussion, please provide that in an enclosure. If a letter refers to a provision of law or Congressional report language, please ensure the response is in compliance with the Congressional intent.

- Be prepared to respond promptly to any questions or edits the Secretary or Deputy Secretary, their counselors or ESEC may have. Please work closely with the Office of the Executive Secretary to ensure relevant subject matter experts are identified in your Component's cover memo and available for a questions and edits.

- Components are responsible for clearing all responses at the Chief of Staff level or above. Clearing Components will be identified by ESEC upon assignment of the response. Mandatory clearances on all congressional correspondence include: OGC, OLA, PLCY and MGMT. Others will be identified by ESEC in the IQ System.

- Apply the same high standards regarding timeliness, responsiveness, directness, and accuracy for other incoming requests from Congress, including phone calls, meetings, questions/inserts for the record, testimony, etc. We recommend that you engage your Component Executive Secretariats and Legislative Affairs offices to assist in completion of these assignments.

- A Balanced Scorecard approach is being used to track the timeliness of letters and inquiries. Please be mindful that being late reflects poorly not only on your Component but the whole of the Department.

Please contact the Office of the Executive Secretary at (b)(6) with any questions.

Chief of Staff
U.S. Department of Homeland Security
Washington, DC 20528

Homeland Security

February 19, 2014

MEMORANDUM FOR COMPONENT HEADS

From: Christian Marrone
Chief of Staff

Subject: Secretary's Guidance on Daily Briefing Books and Information Memoranda

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As a Component Head, you can appreciate the high priority the Secretary and Deputy Secretary place on being well-prepared. To make the best use of the Secretary's and Deputy Secretary's, as well as your time, it is critical that we receive briefing and information materials in advance that are well-written, concise, and clear to prepare for and ensure productive meetings, events, and speeches. The Secretary and Deputy Secretary understand and appreciate the work that all of you and your Components are doing to support them and meet their expectations in this area.

As we continue to evolve our internal processes to provide the best possible materials for the Secretary and Deputy Secretary, I have asked Executive Secretary (b)(6) to implement changes to the Department's existing procedures and standards for daily briefing and information materials for the Secretary and the Deputy Secretary. These changes are designed to help Components understand what the Secretary and Deputy Secretary expect and to route fully vetted materials to them in the most efficient manner. To be sure, implementing these changes will be a collaborative effort between your office and the Office of the Executive Secretary (ESEC), and I appreciate in advance your support to ensure this takes place smoothly.

Daily Briefing Books: ESEC will continue to assign briefing materials to the DHS Component with primary responsibility for the subject area of the meeting. In addition, ESEC will assign a professional staff member from my office to coordinate with and review your Component's draft before submission to ESEC. **Effective immediately, materials will be due by 12 p.m. two days prior to the meeting**. Components will continue to coordinate materials through other Components with equities, as well as with Front Office staff, prior to submission to ESEC. If Components do not provide materials within the specified timeframe, the meeting may be cancelled and re-scheduled at a later date.

Upon receipt of materials, ESEC will conduct a substantive review and facilitate the Front Office counselor clearance of the briefing materials. Components will be given time to adjudicate any comments or questions resulting from front office review.

The briefing memo template has also been updated to provide the Secretary and Deputy Secretary with a concise, high-level overview of their meetings. Components shall provide briefing materials in the form of a concise executive summary, in accordance with the new template (which ESEC will send to Component executive secretariats).

Information Memoranda (requested and voluntary): Whenever the Secretary or Deputy Secretary requests information from a Component, ESEC will task the action to the Component with a firm deadline, identify other Components and Front Office staff for mandatory coordination, and include an updated information memo template (to be sent to Component executive secretariats). The response shall be provided in accordance with the requested information memorandum template, i.e., straightforward, clear and concise. If the Secretary or Deputy Secretary request additional information or materials, ESEC will follow-up with the appropriate Component.

When a Component wishes to inform the Secretary and/or Deputy Secretary about a program or issue, the information shall be provided in accordance with the new ESEC voluntary information memorandum template. The memo shall be signed at the Component Head level, explain the relevant issue, discuss why the Secretary or Deputy Secretary is being made aware of the issue, and why the issue is timely for their attention.

I ask that you apply the same timeliness and accountability standards to briefing and information memos tasked by ESEC as you would if you were receiving a request directly from me. ESEC remains the Department's conduit for information, decision materials, reports, and correspondence addressed to the Secretary and Deputy Secretary. (b)(6) [redacted] and her staff have my complete support as we implement a myriad of changes surrounding these activities. They will work closely with your Component executive secretariats to explain these requirements in greater detail.

I have attached more specific guidance for both briefing memos and information memos. If you have questions regarding this guidance, please contact Executive Secretary (b)(6) [redacted] at (b)(6) [redacted]

Thank you in advance for your cooperation as we make these critical changes that will ultimately better serve the Department.

Guidance for Preparing Briefing Memos and Submitting Information For the Secretary and Deputy Secretary of Homeland Security

Daily Briefing Book Memos

- ESEC's Briefing Book team will task the relevant Lead Component to provide a concise overview of the Secretary and Deputy Secretary meeting or event.
- ESEC will edit materials to ensure adherence to substantive and format guidelines, as provided in the updated template. In lieu of a lengthy memorandum with multiple attachments, or a power point presentation, effective immediately, Components must submit their briefing materials as a concise executive summary, not to exceed two (2) pages. The updated briefing book template provides further guidance for drafting, and this template will be attached to each briefing book tasking.
- Briefing memos must be direct and to the point, using straightforward Plain Language and eliminating extraneous information.
- All briefing book materials will be **due by 12 p.m. two (2) days prior to the meeting. Requests for extensions past 12 p.m. will be granted by exception only.**
- Components are responsible for coordinating relevant briefing information with other Components that have equities, as well as with designated staff within the Department's Chief of Staff's office, prior to submission to ESEC. They must confirm this coordination to ESEC when submitting the materials.
- If Components do not provide materials within the specified timeframe, the Chief of Staff will be notified and the meeting may be cancelled based on the Component's failure to submit.
- Upon receipt of the briefing memo, ESEC will conduct a substantive review and facilitate Front Office clearance by the appropriate counselor and the Chief of Staff.
- When the Front Office review results in comments or questions, Components will have up to three (3) hours to adjudicate these and provide updated materials or any requested additional information to ESEC.
- Questions concerning briefing memoranda for the daily briefing books may be addressed t (b)(6) [redacted]

APPENDIX D: GUIDELINES FOR PREPARING CONGRESSIONAL REPORTS

THESE GUIDELINES ARE PREPARED BY THE OFFICE OF THE CHIEF FINANCIAL OFFICER AND WILL BE UPDATED AS NEW VERSIONS ARE RELEASED.

Guidelines for Preparing Congressional Reports

Homeland Security

Guidelines for Preparing Congressional Reports

(Updated February 2015)

Table of Contents

Guidelines for Preparing Congressional Reports (Updated February 2015)

Applicability – All Reports

The Department's standard reports template applies to all Department of Homeland Security (DHS) reports, including those that are prepared in response to appropriation and authorization requirements, regardless of the recipient.

Report Preparation

Reports must be prepared by federal employees; contractors may not write portions of a report.

All reports should be prepared according to the template in Appendix A, no matter how brief. Letters or data sheets will not be accepted instead of reports. A sample report (Appendix B) and the submission process and timeline (Appendix C) are also included in this guide.

Do not send multiple attachments to serve as a single report. All attachments, enclosures, and appendices should be included in a single document, pursuant to the template—with the exception that classified material may be provided separately. Indicate that a classified portion exists and will be provided separately.

Reports must be marked appropriately (For Official Use Only, Sensitive Security Information, Law Enforcement Sensitive). Refer to DHS Management Directive No. 11042.1, "Safeguarding Sensitive but Unclassified (For Official Use Only) Information," for guidance on when to use markings.

Please make every effort to keep reports smaller than 5 MBs; larger files are difficult to transmit electronically to Congress. Should a report unavoidably exceed this size limit, make alternative transmittal arrangements with the DHS Office of the Executive Secretary (ESEC) or Office of the Chief Financial Officer (OCFO) as appropriate and necessary.

Periodic reports should be almost verbatim in terms of content and format of previous reports and should focus on presenting highlights for that reporting period. For example, the legislative requirement provided in Section I should be identical in each issuance of a quarterly report, and each edition should provide data relevant to that quarter only.

Pursuant to the template, all reports must have a Table of Contents with page numbers. However, reports may have distinct contents or headers, depending on the specific report's contents. In other words, some flexibility is appropriate, because a 2-to-3 page report will not need all of the sections provided in the template's Table of Contents.

Some discretion is afforded for the Executive Summary. It is not necessary to have an Executive Summary for a 2-page report. On the other hand, an Executive Summary is required for a more extensive report and will facilitate the clearance process.

Make sure that the correct legislative language is cited verbatim.

Pictures, charts, and tables should be used as appropriate, but use captions and explain in the body of the report why such materials are included. If there is more than one picture, chart, or table in the report, assign each one a number (e.g., "Figure 1"); this helps when referring to each item. If there is only one picture, chart, or table in the report, it is not necessary to number it.

Guidelines for Preparing Congressional Reports (Updated February 2015)

Report Formatting

Appendix A, "Standard Template for Reports," is a tool that offers the correct format (title page, section headings, descriptions of what is needed in each section, font sizes, etc.) for reports.

Left and right margins should be 1 inch; headers/footers should have 0.5-inch margins.

The report title should be identical on the cover page, in the Foreword ("Message from the …"), and on the Table of Contents page.

The opening line under Foreword should start "I am pleased to submit …"

During the clearance process, the cover page and the Foreword page should include a notational month and year the report is being signed and forwarded (e.g., April xx, 2011).

> *Note: An exact date should not be added to those pages until the day the report is signed and converted to a PDF for transmittal.

Components should state that the Component, NOT a subcomponent, prepared the report.

Example:

<u>Correct</u>:	"I am pleased to present the following report,… prepared by U.S. Immigration and Customs Enforcement (ICE)."
<u>Incorrect</u>:	"… prepared by ICE Office of Enforcement and Removal Operations."

Include a picture of the signatory on the Foreword page; pictures should be a maximum of 2 by 3 inches and should be the minimum file size possible. Make sure the approved picture is used; e.g., for reports requiring the Secretary's (S1) signature, as of January 2014, use the picture in which Secretary Johnson is wearing a grey pinstripe suit with a red tie. Align the picture with the opening line under "Message from the ..." on the right side of the page.

Ensure the DHS logo is centered at the top of the Table of Contents, with the name of the report centered on the fourth line under the logo.

Make sure the page numbers in the Table of Contents correspond to the page numbers in the body of the report. For each item listed in the Table of Contents, use dot leaders from the section titles to the page number.

Page numbers before Section I should be lower case Roman numerals (e.g., "i") starting on the page following the cover page. Section I page numbers should be Arabic numerals (e.g., "1").

Font sizes in the main body of reports

- The title for each section (e.g., "I. Legislative Language") should be boldface 20-point Times New Roman.
- Titles at the next level (e.g., "A. History" under Background section) should be 16-point Times New Roman.
- The body of each section should be 12-point Times New Roman, left-justified only

  > *Note: Legislative citations in Section I are 12-point Times New Roman with 1-1/2" margins, and alignment is full justification.

Guidelines for Preparing Congressional Reports (Updated February 2015)

Style Points to Keep in Mind

The full name of the statutory authority/requirement must be italicized, e.g., "*Fiscal Year* (FY) *2008 Department of Homeland Security* (DHS) *Appropriations Act* (P.L. 110-161)." Subsequent colloquial uses (e.g., 9/11 Act) should not be italicized.

*Note: (FY) and (DHS) are NOT italicized

When using abbreviations or acronyms, define/spell them out the first time they are mentioned in the report. Do not spell out and then abbreviate in each section of the main body. Also, do not define acronyms in headings; use the acronym and try to define it in the first paragraph of that section. The Message from the Secretary (or Forward) is consider a separate document from the report, so adjust the acronyms accordingly.

*Note: Do not use an acronym if the term is only used once.

Alphabetize all acronyms in an Acronyms list, which should be included as a separate appendix, for any report of more than 5 pages

Do not split numbers, dates, a person's name, or the prefix and the suffix of a phone number on two lines.

Bulleted Lists

- Make uniform use of bullets. Do not use different bullet styles in different sections of a report.
- If each item in a bulleted list is a full sentence, end it with a period. If each item is a complex phrase, end each item with a semicolon and the second to last bullet will end "; and". The last bullet will end with a period. Lists should be consistently formatted. Bulleted lists of a single word per bullet require no punctuation except a period at the end.

Use a comma before "and" or "or" in a series. (Example: Sally sells seashells, snow globes, and post cards. Note the comma before the word "and.")

Use two spaces after every period and colon, one space after a semicolon.

(For reports in response to an appropriation requirement) Use "Joint Explanatory Statement" when referring to the Conference Report.

Spell out state names and the names of cities (For example: Los Angeles, California – not LA, CA). Exception: Use Washington, DC for District of Columbia.

Keep sentences straightforward and concise. Limit use of overused transitional words such as "additionally," "furthermore." Minimize the use of the passive voice; use plain writing.

Do not use "above" or "below" when referring to another section of the report. For example:

<u>Correct</u>:	"The following paragraphs describe…"
	"As described in section X..."
	"The Payroll Summary Table shows…"
	"Figure 1 shows…"
<u>Incorrect</u>:	"The table below shows…"
	"The list above is…"

Guidelines for Preparing Congressional Reports (Updated February 2015)

Do not begin with sentences with "As you know …"

When adding an "s" or "'s" to an acronym, consider the full name, not the letters of the acronym. "DHS" ends with an "s," "Department of Homeland Security" does not. Therefore, the possessive form of DHS is DHS's. When an acronym is plural and not possessive, do not use an apostrophe (e.g., POEs, TSOs).

*Note: No possessive is necessary when referencing an agency's office (e.g., "The DHS Office of the Chief Financial Officer").

Figures (Tables, graphs, pictures, etc.)

- All figures must have titles and be formatted as follows:
  - Center the title;
  - Information within each cell should be centered vertically (see table "properties");
  - Right-align numerals, including monetary amounts; and
  - Left-align text.

- For a consistent look, make all figures full-page width:
  - Highlight the entire figure;
  - Right-click and scroll to "AutoFit"; and
  - Click "AutoFit to Window."

- Give tables a consistent look:
  - Right-click and select "Table Properties…";
  - Click the "Row" tab;
  - Click "Specify height" (Make sure 0.2 inches is in box to right of "Specify height");
  - Make sure no check mark is next to "Allow row to break across pages" or "Repeat as header row at top of each page"; and
  - Click "OK."

Then,
  - Highlight the rows with the title of the table and the column headings;
  - Right-click and select "Table Properties…";
  - Click the "Row" tab;
  - Select "Repeat as header row at top of each page"; and
  - Click "OK."

When to Capitalize

- Always capitalize a proper noun—the name of a person, a specific place, organization, or position title. Always capitalize a noun when using it alone as a well-known short form of a specific proper noun.

  Examples: The Department (for the Department of Homeland Security)
  Headquarters (when referring to a specific organization)
  Customs, Agriculture, Immigration (when referring to the functions of these organizations, past and present)

- To achieve greater distinction, the word "the" is capitalized when used as an essential part of a proper name.
  Examples: The Mall (in Washington, DC)
  The Netherlands

- Capitalize fiscal year only with the year.
  Examples: Fiscal Year 2015 (if used more than once, Fiscal Year (FY) 2015)
  But: It will be entered during the next fiscal year.

- Capitalize these terms:
  - "Component" when referring to DHS Components (e.g., MGMT, FEMA, USCG)
  - "Nation" (*but* not national)
  - "Government" when referring to:
    – U.S. or Federal Government *but* lowercase for local government (Note: "Federal" is capitalized **only** when used in the phrase "Federal Government")
    – Government of Canada (or any other country) *but* Canadian government
  - "Congress" *but* congressional
  - "Department" *but* departmental

When to use the Lowercase (vs. Capitalization)

- When a common noun is used alone and is not known in its short form, as a substitute for the name of a place or thing.
  Example: We crossed several ports of entry.

- When the word "the" is not an essential part of a proper name, as in locations, periodicals, vessels, trains, etc.
  Example: the Ronald Reagan Building
  BUT: The Washington Post (as "the" is part of the official name)

- When a descriptive term denotes a direction.
  Examples: southwest border
  the eastern United States
  southern California

- When using the word "state," except when referring to the proper name of a state (e.g., State of California).

Dates

- When referring to an exact date (month, day, year) include a comma after the date.
  Example: November 20, 2010, was a Saturday.

- When using only the month and year, no comma is necessary.
  Example: March 2002 was a rainy month.

- No comma is necessary when the date is used as a descriptive term.
  Example: The August 12, 2004 letter stated … (Note: No comma after 2004)

- Do not use numerals for months or abbreviate dates.
  Example: October 1, 2007 NOT 10/01/07

- When referring to two dates in the same year, only show the year once, after the second date. Example: March 22 to June 19, 2007

Numbers

Double check all numbers to ensure the totals are correct.

Place a zero before a decimal ("0.2 miles").

Use numerals:

- For "10" or more, except at the beginning of a sentence.
  Examples: There were 47 people at the party.
  Forty-seven people were at the party, 23 of whom were men.

- When two or more numbers appear in a sentence and one of them is 10 or higher.
  Example: That man has 3 suits, 2 pairs of shoes, and 12 pairs of socks.

- Spell out millions, billions, etc. Example: $X million (NOT $XM)

- Age, Measurement, Time

  (a) Age (*always use numerals for age)
  Examples: The girl is 6 years old
  He is a 5-year old boy
  At the age of 3 (years are implied)

  (b) Clock Time
  Examples: 4:30 p.m.
  10:00 a.m.

  (c) Measurements
  Examples: 8 by 12 inches
  8- by 12-inch page

  (d) Time
  Examples: 7 minutes
  8 days
  (Do not use military time)

  (e) Unit Modifiers
  Examples: 5-day week
  8-year-old wine
  8-hour day

(f) Percentage
Example: 100 percent
* Note: Spell out the word percent. The % symbol should only be used in tables or when displaying statistics. **Be consistent in a document.**
Example: We are hoping to secure 34 percent of the northern border and 23 percent of the southwest border.

When using "U.S." as a noun, spell out "United States."
Example: He entered the United States.
But, as an adjective: U.S. Department of Homeland Security or U.S. ports of entry

Type telephone numbers as follows:
Example: (202) 447-3000

Verify the correct spelling and appropriate capitalization of names, titles, phone numbers, acronyms, organizations, and geographic references. ("Google" everything!)

Do not abbreviate the following: The Honorable, Governor, Representative, Senator, etc.

Consult the Government Printing Office Style Manual for style points not listed in this document. You can find the manual online at http://www.gpo.gov/fdsys/pkg/GPO-STYLEMANUAL-2008/pdf/GPO-STYLEMANUAL-2008.pdf

Style Points for Reports to be Signed by S1

The picture in the report must be S1's 2014 photo. In this picture, S1 is wearing a red tie, white shirt, and flag lapel pin.

IMPORTANT The closing line must read, "Should you have any questions, please contact me at (202) 282-8203 …"

IMPORTANT S1's closer must read "Sincerely,"

Underneath his name (in "Message from the Secretary"), do not put "Secretary" or "U.S. Department of Homeland Security," only "Jeh Charles Johnson."

When an S1 report is under 25 pages long, the entire report should be Times New Roman, 13 point font and single spaced. When an S1 signed report is over 25 pages long, the message and executive summary should both be Times New Roman, 13 point font, with the remainder of the report text being Time New Roman, 12 point font.

S1 signed reports must accompanied by a cover memo.

Report Clearance

As a reminder: All Component reports must be submitted directly to one of two organizations:

- ESEC, for all reports required by an Authorization Committee ; or
- OCFO, if an Appropriations Committee requirement*

Components should not send reports directly to the Office of Management and Budget (OMB), the Under Secretary for Management (USM)*, or the Office of Legislative Affairs. This will cause delay.

All reports must be cleared by the Department and OMB. Do not send a report to ESEC or OCFO the day before the deadline and expect its transmittal the following day. When submitting a draft report, please allow for *at least* 40 workdays of clearance time before congressional due dates. Reports will be placed into DHS clearance when received. Reports received after 4:00 pm will be placed into DHS clearance the morning of the next business day. Examples:

- A report received at 5:30 pm on Monday will be tasked for DHS clearance on Tuesday morning.
- A report received at 5:45 pm on Friday will be tasked for DHS clearance on Monday morning.
- A report received at 5:20 pm on a Friday when Monday is a holiday will be tasked for DHS clearance on Tuesday morning.

When submitting a draft report, Components are required to confirm clearance by their own Component leadership at the Chief of Staff (COS) or higher level.

* Note: DHS Management Directorate (MGMT) offices reports to Appropriations Committees must be reviewed by the Office of the USM before they are transmitted to OCFO. Confirmation of clearance by the subcomponent leadership at the COS-or-higher level must accompany submission of the report. Following USM review and clearance, the MGMT Directorate ExecSec will submit reports to OCFO for standard reports clearance. The following offices are included in this policy:

  - Office of Security
  - Office of the Chief Procurement Officer
  - Office of the Chief Human Capital Officer
  - Office of the Chief Administrative Officer
  - Office of the Chief Financial Officer (except monthly budget execution reports)
  - Office of the Chief Information Officer

Late Reports

Although the Department may coordinate with congressional committees on reports requirements, we will not write to request an extension of the deadline.

Reports that are past their due date to Congress will be considered late. DHS Components should make every effort to meet deadlines identified in statute or report language.

In the event that there are significant issues affecting the timeliness of a recurring report each time it is due, the Component should work with the Office of the General Counsel (OGC) and the Office of Legislative Affairs (OLA) to submit a legislative change request. Such issues must be significant, recurring, and beyond the Component's ability to control.

Signature and Transmittal of Reports

Components should use the Foreword to briefly describe the purpose and to list the report's intended recipients in accordance with the legislative requirement.

The legislative language dictates who must sign a report. Recent DHS appropriations acts have included a general provision which prohibits the delegation of reporting requirements for reports specified under those acts. This means that if an appropriations act requires a specific individual (such as the Secretary or a Component Head) to provide a report, that individual must sign the report itself; the Under Secretary for Management signs reports required from "the Department." For reports required by authorization statutes, the Secretary may delegate requirements, and associated signatures, to the Assistant Secretary for Legislative Affairs or to Component Heads.

Reports that do not have an electronic signature when submitted for clearance will need to be signed by the appropriate individual. Once signed, no further changes may be made to the report; should a substantive change become necessary, the report will need to be re-cleared, which will result in a delay.

The cleared and final report should be dated, signed, and transmitted as quickly as possible when final clearance is received. The transmitting office should ensure the transmittal date is placed on the cover page and the top of the Foreword, as depicted in Appendix A.

DHS reports to Congress will be transmitted as follows:

- All reports to Authorization Committees must be transmitted by DHS OLA.
- All reports to Appropriations Committees must be transmitted by OCFO.

Reports are the intellectual property of the committees that created the requirement for the report. Components must refer Members of Congress or other committees that request copies of a report to the committee originating the requirement. There are no exceptions.

Put simply, a report that is required to be transmitted to the Appropriations Committees may **not** be transmitted to any other entity, unless specified in the congressional requirement. An Authorizing Committee requesting a copy should be referred instead to the Appropriations Committee.

Appendix A. Standard Template for Reports

Insert Title Here

Fiscal Year 20xx Report to Congress
[subtitle of report]

Month XX, 20xx

Homeland Security

Insert name of Component or office
(NO SEALS)

Foreword/Message from the [Insert Secretary or Head of Component, as appropriate]

(To be written by whomever was tasked by Congress to prepare the report)

[Date of Transmittal, Centered]

I am pleased to submit "Report Title," prepared by [Component].

This document has been compiled pursuant to a requirement in the Joint Explanatory Statement, which accompanies the *Fiscal Year* (FY) *20XX Department of Homeland Security Appropriations Act* (P.L. XXX-XXX). Included is an overview.

- This page and new format will serve as the replacement for transmittal letters previously signed by the Under Secretary for Management for Appropriations Committee reports.

- This page should serve as the Component's statement that the associated report was prepared by that Component and no one else, pursuant to congressional requirements.

- List or state the recipients of the report (i.e., each of the Appropriations Committee members receiving the report and/or each member of each Authorizing Committee).

- Do NOT put a date; this will be added at the end of the clearance process just before the report's transmittal to Congress.

- At the bottom, include a signature block for the Secretary or the Head of Component to sign, as appropriate.

    - Since reports should be submitted through the clearance process in Word format, signatures should be included as scanned images.

Sincerely,

Name

Executive Summary

[Insert text, following the guidelines and matching the format of the example provided here.]

- Discuss the purpose of this report and how it fulfills specifically identified legislative requirements. It is not necessary to cite verbatim the legislative requirement here, because that will be covered in Section I.

- Provide a brief overview summarizing the contents of the report.

    - If the report provides an expenditure plan, include an executive overview of the expenditure plan itself. Also, include a short summary of the project initiatives and assets funded through the expenditure plan.

    - If the report is a monthly, quarterly, semi-annual, or annual report, describe the specific period covered by the report, including dates.

- Clearly demonstrate how specific project activities described in the report link to the Department's mission and Secretary's priorities

[Name of Report]

Table of Contents

[Insert appropriate text, using the following general outline provided here:]

*Note: The specific contents may vary depending on the nature of the report.

Guidelines for Preparing Congressional Reports

I. Legislative Language

[The Joint Explanatory Statement/House Report XXX-XXX/Senate Report XXX-XXX], which accompanies the [*Fiscal Year* (FY) *20XX Department of Homeland Security* (DHS) *Appropriations Act* (P.L. XXX-XXX)], include(s) the following requirement.

> [Example: (12 point Times New Roman, 1-1/2-inch left and right margins, fully justified)]
>
> (That of) the amount provided under this heading, $650 million shall not be obligated until the Committees on Appropriations of the Senate and the House of Representatives receive and approve a plan for expenditure, prepared by the Secretary of Homeland Security and submitted within 90 days after the date of enactment of this Act, for a program to establish a security barrier along the borders of the United States of fencing and vehicle barriers, where practicable, and other forms of tactical infrastructure and technology, that includes:
>
> (1) a detailed accounting of the program's progress to date relative to system capabilities or services, system performance levels, mission benefits and outcomes, milestones, cost targets, program management capabilities, identification of the maximum investment (including life cycle costs) required by the Secure Border Initiative SBI*net* or any successor contract, and description of the methodology used to obtain these cost figures;
>
> (2) a description of how activities will further the objectives of the Secure Border Initiative, as defined in the Secure Border Initiative multi-year strategic plan, and how the plan allocates funding to the highest priority border security needs;
>
> (3) an explicit plan of action defining how all funds are to be obligated to meet future program commitments, with the planned expenditure of funds linked to the milestone-based delivery of specific capabilities, services, performance levels, mission benefits and outcomes, and program management capabilities;
>
> (4) an identification of staffing (including full-time equivalents, contractors, and detailees) requirements by activity;
>
> (5) a description of how the plan addresses security needs at the northern border and the ports of entry, including infrastructure, technology, design and operations requirements;

[Insert citation; include <u>verbatim</u> from originating statute or congressional report]

- Include exact reporting requirement language, including the referenced public law. Do not summarize.
- If there are multiple reporting requirements, provide the citation for each and include verbatim the corresponding language for each. Do not summarize.

II. Background

[Insert text, following these guidelines]

- For the program or project that is the subject of the report, provide the mission and purpose. Specifically describe the mission of the Component and the performance goals as outlined in the Component's strategic context section of the most recent Congressional Justification.

- Provide a history of accomplishments for the program or project.

    - FOR EXPENDITURE PLANS: Should the report provide an expenditure plan, also include a history of funding to date. Should the funding history encompass more than one fiscal year, present the information in a table by fiscal year appropriations.

- Describe past challenges and progress that has been made to address those challenges, leading to the new report.

    - FOR EXPENDITURE PLANS: Include a detailed accounting of the program's progress to date relative to system capabilities or services, system performance levels, mission benefits and outcomes, milestones, cost targets, program management capabilities, life cycle costs, and description of the methodology used to estimate these cost figures.

- FOR DATA REPORTS: Should the report be required for the purposes of providing pure data, explain how the requested data was generated or assembled and any assumptions that were made in that process.

III. Results/Data Report/Expenditure Plan

[Insert text, following these guidelines]

- Discuss the current status of the program or project. Provide a full description, including planned initiatives.

- FOR REPORTING OF RESULTS: Should the report be intended to conduct a review and arrive at a determination, provide a detailed description of the activities undertaken to conduct the review. Identify any coordination with other agencies or departments, if applicable.

- FOR DATA REPORTS: Provide data in a manner that is clearly legible with font sizes of 10 or higher.

- FOR EXPENDITURE PLANS (1): Include the following information in a narrative where available:

  - Project alignment with DHS and Component's strategic goals.

  - Project goals and projected timeline.

  - Description of how the plan allocates funding to the highest priority needs.

  - Description of how activities further the objectives of the project.

  - Description of how all funds are to be obligated to meet future program commitments, with the planned expenditure of funds linked to the milestone-based delivery of specific capabilities, services, performance levels, mission benefits, outcomes, and program management capabilities. Report on costs incurred, the related activities completed and the progress made by the program/project.

- FOR EXPENDITURE PLANS (2): Provide a table that presents the program or project's Obligations and Expenditures, including:

  - Identify the total of all active appropriations, actual and planned obligations, and actual and planned expenditures by fiscal year.

  - At a minimum, include carryover funds, funding from the previous fiscal year, and funding for the current fiscal year.

  - A sample is provided on the following page.

e. Expenditure Plan: Appropriations, Obligations, and Expenditures [45]

PROGRAM SPENDING PLAN: FRC-A

APPROPRIATIONS IN $ MILLIONS

Net Appropriated Funds	34.361
Project Outlays End-of-Q1 FY08	27.024
Funds Obligated, Not Outlayed End-of-Q1 FY08	7.337
Unobligated Balance End-of-Q1 FY08	0.000

UNOBLIGATED BALANCES BY FY as of 31 DEC 2007

FY 04	FY 05	FY 06	FY 07	FY 08	Total
0.000	0.000	0.000	0.000	0.000	0.000

PLANNED OBLIGATIONS IN $ MILLIONS as of 31 DEC 2007

	Q1FY08	Q2FY08	Q3FY08	Q4FY08	FY09	FY10	FY11	FY12	FY13
Plan	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Plan Cumulative	34.361	34.361	34.361	34.361	34.361	34.361	34.361	34.361	34.361
Cumulative % Allotment	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%
Actual	34.361								

PLANNED OUTLAYS IN $ MILLIONS as of 31 DEC 2007

	Q1FY08	Q2FY08	Q3FY08	Q4FY08	FY09	FY10	FY11	FY12	FY13
Plan	1.429	1.430	1.429	1.429	3.539	2.588	2.112	1.543	0.571
Plan Cumulative	19.381	20.811	22.241	23.670	27.209	29.797	31.909	33.452	34.023
Cumulative % Allotment	56.40%	60.57%	64.73%	68.89%	79.19%	86.72%	92.86%	97.35%	99.02%
Actual	27.024								

- Should the program or project have several phases or initiatives, use the following standard format:

Description of Initiative I

- Description;
- Identify all relevant active appropriations, obligations to date, and expenditures by fiscal year;
- Projected obligations and expenditures;
- Identify major performance objectives;
- Activities and Milestones/Accomplishments; and
- Contract Information.

Description of Initiative II

- Description;
- Identify all relevant active appropriations, obligations to date, and expenditures by fiscal year;
- Projected obligations and expenditures;
- Identify major performance objectives;
- Activities and Milestones/Accomplishments; and
- Contract Information.
-

IV. Analysis/Discussion

[Insert text, following these guidelines]

- FOR REPORTING OF RESULTS:
  - For reports providing the results of a program, project, research, or other activity, analyze those results.

- FOR DATA REPORTS:
  - Identify any trends that can be ascertained from the data.
  - Compare to previous data reports. Identify any significant deltas.
  - Provide any determinations that may be drawn from the data trends and comparisons with past data, and discuss the impacts of such determinations.
  - If feasible, discuss future trends and their implications.

V. Independent Oversight and DHS Response (if required)

[Insert text, following these guidelines]

- As necessary, include or discuss oversight conducted by the Department's Office of Inspector General (OIG) or the Government Accountability Office (GAO) or analysis conducted by another nongovernmental entity.
- As necessary, reference all GAO and DHS OIG recommendations related to the program and the status of the DHS actions to address the recommendations, including milestones to fully address them.

*Note that Section V only applies if the congressional requirement specifies that the report must address OIG or GAO recommendations.

VI. Conclusion/DHS Action Plan

[Insert text, following these guidelines]

- On the basis of the results and the subsequent analysis of those results as described by the report, provide the following:
  - Any conclusions that may be drawn that may impact the program or project.
  - Specific courses of action the Department and/or Components intend to pursue.
- Identify any future or anticipated challenges in fulfilling the mission of the program or project. Provide recommendations for future courses of action, as appropriate.

VII. Appendix

[Insert attachments and additional materials, following the general order provided here]

A. Memoranda, if required.

B. Certifications, if required. As applicable, be certain to comply with specific congressional requirements.

C. List of Abbreviations/Acronyms.

Appendix B. Sample of a Properly Formatted Report

Delineation of National Intelligence Program and Homeland Security Intelligence Program Funds in the DHS Office of Intelligence and Analysis

May 20, 2013

Homeland Security

DHS Office of Intelligence and Analysis

Message from the Secretary

1/23/2015

I am pleased to present the following report, "Delineation of National Intelligence Program and Homeland Security Intelligence Program Funds in the DHS Office of Intelligence and Analysis."

The report was compiled by the Department of Homeland Security's Office of Intelligence and Analysis pursuant to a request in the *Classified Annex to the Intelligence Authorization Act for Fiscal Year 2013* (P.L. 112-277). This document describes the methodology used to delineate between activities in the Department of Homeland Security's Office of Intelligence and Analysis funded in the National Intelligence Program (NIP) and those funded outside the NIP in the Homeland Security Intelligence Program Program, Project, and Activity.

Pursuant to congressional requirements, this report is being provided to the following Members of Congress:

The Honorable Mike Rogers
Chairman, House Permanent Select Committee on Intelligence

The Honorable C.A. Dutch Ruppersberger
Ranking Member, House Permanent Select Committee on Intelligence

The Honorable Dianne Feinstein
Chairman, Senate Select Committee on Intelligence

The Honorable Saxby Chambliss
Vice Chair, Senate Select Committee on Intelligence

If you have any questions, please do not hesitate to contact me at (202) 282-8203 or the Department's Acting Undersecretary for Intelligence and Analysis, William Tarry, at (202) 282-9690.

Sincerely,

Jeh C. Johnson

Delineation of National Intelligence Program and Homeland Security Intelligence Program Funds in the DHS Office of Intelligence and Analysis

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I. Legislative Requirement

This document responds to the reporting requirements set forth in the *Classified Annex to the Intelligence Authorization Act for Fiscal Year* (FY) *2013* (P.L. 112-277), which states:

> Within 120 days of the enactment of this act, the Committee directs the Secretary of the Department of Homeland Security to provide to the congressional intelligence committees a report that describes:
>
> 1. A clear justification for the creation of the Homeland Security Intelligence Program (HSIP), including identification of the problems solved through its creation and an explanation of how the HSIP will better enable DHS to perform its intelligence mission;
> 2. Specific guidelines for deciding which activities belong in the NIP and which in the HSIP;
> 3. An estimate of which activities remaining in the NIP may be transferred to the HSIP in future years based on these newly developed guidelines, as well as those activities elsewhere in DHS that might be transferred to the NIP or to HSIP.

II. Background

The mission of the Department of Homeland Security's (DHS) Office of Intelligence and Analysis (I&A) is to equip the Homeland Security Enterprise with the intelligence and information it needs to keep the homeland safe, secure, and resilient. I&A also has a unique role as the central conduit for information sharing among the Intelligence Community (IC); federal entities; state, local, tribal and territorial entities through the National Network of Fusion Centers; and other partners.

This mission is accomplished through four Strategic Goals:

1. Promote Understanding of Threats through Intelligence Analysis
2. Collect Information and Intelligence Pertinent to Homeland Security
3. Share the Information Necessary for Action
4. Manage Intelligence for the Homeland Security Enterprise

I&A is both an element of DHS and a member of the IC. As such its activities support both DHS and IC missions. In the President's Budget for Fiscal Year 2013, I&A requested funds outside the National Intelligence Program (NIP) for the first time. This report describes the reason for that request; the methodology used to make the distinction; and how future funding decisions will be made.

III. Discussion

Justification for the creation of the Homeland Security Intelligence Program (HSIP), including identification of the problems solved through its creation and an explanation of how the HSIP will better enable DHS to perform its intelligence mission

Since its inception, I&A has been funded exclusively within the NIP. In August 2009, the Office of the Director of National Intelligence (ODNI) directed I&A to develop a methodology by which I&A and ODNI could identify which, if any, of I&A's functions would be more appropriately funded outside the NIP. This mirrored a similar process the ODNI had undertaken with the Federal Bureau of Investigation, and it is similar to the separation between funding for the NIP and the Military Intelligence Program. I&A and the ODNI came to an agreement on a methodology and identified those functions being performed by I&A that should be funded outside the NIP. These actions were undertaken to better align ODNI oversight of I&A activities and not to achieve specific operational improvements.

The HSIP was created in consultation with the DHS Chief Financial Officer, the Office of Management and Budget, and ODNI when it was determined that executing funds appropriated outside the NIP would require a separate Program, Project, and Activity (PPA) within I&A's appropriation to control funds and ensure integrity of their execution.

Concurrently, I&A developed its first strategic plan and conducted a zero-based review of its budget. This review identified funding for I&A activities that primarily support other (non-IC) elements of DHS or are conducted for unique departmental requirements, which led to an overhaul of the PPA structure, including the creation of the HSIP.

Specific guidelines for deciding which activities belong in the NIP and which in the HSIP

The Homeland Security Act of 2002, Section 201(d) enumerates I&A's mission responsibilities. Sections 201(d) (17)-(23) direct I&A, *inter alia*, to provide intelligence and information analysis and support to other elements of DHS; coordinate and enhance integration of the Department's "intelligence components," including through strategic oversight of their intelligence activities; establish intelligence-related policies, standards, guidelines, and procedures, as well as a structure and processes for supporting intelligence component missions and goals; provide budget-related guidance and recommendations pertaining to intelligence component activities; and establish an internal I&A continuity of operations plan. I&A characterizes the activities conducted pursuant to these sections as serving predominantly departmental mission activities.

Accordingly, I&A, in consultation with ODNI, reviewed its activities through the lens of the particular mission (i.e., departmental versus national) for which intelligence support and oversight is provided by I&A. Where the preponderance of an I&A activity is intended to affect, enable, or support the collection, processing, analysis, or dissemination of intelligence related to the national security, that activity is considered "national" in scope and continues to be funded in the NIP. Where the preponderance of an I&A activity is intended to affect, enable, or support the collection, processing, analysis, or dissemination of intelligence needed to execute and discharge the lawful responsibilities of DHS (that is, as a Department or any one or more of its discrete constituent components), that activity is "departmental" in scope. These activities are excluded from I&A's NIP request, with funding requested in the newly proposed HSIP PPA.

Moreover, it was determined that I&A activities would not be split-funded; that is, where relevant I&A activities are intended to be carried out predominantly in support of a DHS mission, I&A and ODNI agree that all of the resources for that activity would be placed in the HSIP PPA.

The Senate Select Committee for Intelligence markup of the FY 2012 *Intelligence Authorization Act* included language that questioned why certain I&A activities, i.e., support to U.S. Citizenship and Immigration Services and Continuity of Operations, were included in the NIP. DHS I&A NIP methodology was being finalized during this time period, and the Committee's comments validated that I&A methodology was sound, since I&A was already planning to exclude these activities from the NIP.

Estimate of which activities in the NIP may be transferred to the HSIP based on the newly developed guidelines

An annual review of NIP and non-NIP activities has been completed for FY 2014 and the FY 2014 President's budget reflects no changes in NIP and non-NIP activities of I&A. The HSIP will continue to fund intelligence support to the DHS cyber mission; I&A's participation in the Department's continuity planning; and, I&A's governance of departmental information sharing and non-NIP intelligence activities. The next review is scheduled to occur in conjunction with FY 2015 budget development.

The HSIP was created to provide a separate PPA within I&A's appropriation for the purposes described above. DHS does not intend to seek authorization from the appropriate Authorization committees or the Appropriation Committees to transfer any other component funds from any other appropriation.

I&A and the ODNI have agreed to continue annual reviews of the I&A program to identify additional I&A activities and associated resources that are sufficiently departmental, either because they are new (and therefore previously not reviewed) initiatives, or the scope of relevant national policy interests has changed.

IV. Appendix: Acronyms

DHS	Department of Homeland Security
DHS/I&A	Department of Homeland Security/Office of Intelligence and Analysis
HSIP	Homeland Security Intelligence Program
IC	Intelligence Community
NIP	National Intelligence Program
ODNIC	Office of the Director of National Intelligence
PPA	Program, Project, and Activity

Appendix C. Authorization Reports Submission Process and Timeline

Authorization Reports Submission Process and Timeline

Authorization reports must complete a three stage clearance process:

- Component Level Clearance – All Components are invited to offer comments and edits, with only OGC and OLA being required to respond.

- Front Office Clearance – Front Office comments and edits are made, with the Component being obligated to accept, unless they are able to persuade the Front Office to utilize alternative language.

- OMB Clearance – OMB clearance comments and edits are made, with the Component being obligated to accept, unless they are able to persuade OMB to utilize alternative language.

Components will receive passback comments and edits for reconciliation following each of these clearance stages.

Each July, ESEC, working with the Components, will build a list of anticipated authorization reports for the coming fiscal year. This list will include titles, due dates, and the authorizing language.

Approximately 80 workdays before an authorization report on the anticipated reports list is due, the responsible Component will receive an IQ tasking from ESEC Reports. That tasking will provide the date the draft is due to ESEC, which will be 40 workdays before the report is due to Congress.

> Note: For new reporting requirements, or reports that otherwise were not included in the anticipated reports list, it is the Components' responsibility to ensure the draft reports are added to a workflow and submitted to ESEC Reports 40 workdays before the Congressional due date.

ALL reports must be submitted to ESEC Reports through IQ; however, questions regarding a particular report may be addressed to (b)(6) [redacted]

> Note: When reassigning workflows in IQ, they MUST be reassigned to ESEC Reports and not a particular person. Similarly, all reports-related emails MUST be sent to (b)(6) [redacted] and not a particular team member. Failing to follow this protocol may result in unnecessary and extended delays in the handling of your reports and questions.

When making comments or edits on a report that is in clearance, it is important to use Track Changes. When providing your Component's clearance, it is important to use the spaces provided in the "Component Clearance" tab. Be sure to select "add" to add a line for your Component. Failure to do so may erase or write over another Component's clearance information. Simply adding a step note with a comment, question, or edit may result in your input being missed.