

# OFFICIAL RECEPTION AND REPRESENTATION FUNDS

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## I. Purpose

This directive establishes policies, assigns responsibilities, and prescribes procedures governing the use of appropriated funds for official reception and representation (ORR) purposes throughout the Department of Homeland Security (DHS).

## II. Scope

This directive applies to all DHS Organizational Elements (OE).

## III. Authorities

- A. Department of Homeland Security Appropriations Act.
- B. National Archives and Records Administration (NARA), General Records Schedule 3, Procurement, Supply, and Grant Records.

## IV. Definitions

- A. **Official Reception**: Refers to an occasion for which the primary purpose is to explain or interpret the programs of DHS. Events may be held in the United States or foreign countries and attended by domestic or foreign officials or others being entertained for official purposes.
- B. **Representation**: Entertainment primarily of foreign dignitaries in a foreign country in connection with the interest of DHS. Representation may also include official entertainment of domestic or foreign officials within or outside the borders of the United States where the principal purpose of the event is related to a responsibility or concern of DHS.
- C. **Designated DHS Official**: Senior DHS Officials as designated by the Chief of Staff, the Deputy Chief of Staff or an Under Secretary, for the purpose of officially representing the Department.

## V. Responsibilities

A. **The Under Secretary for Management** shall:

1. Provide overall policy and administrative guidance regarding the use of appropriated funds for official reception and representational (ORR) purposes;
2. Authorize the use of ORR funds for expenses that are not specifically covered by this Directive, provided that such use is consistent with the general policies and guidelines set forth herein;
3. Delegate these responsibilities, as appropriate;
4. Establish internal controls to ensure that appropriation limitations are not exceeded; and
5. Budget and account for resources necessary to support this program.

B. **All Under Secretaries and Designated DHS Officials** shall:

1. Ensure that ORR funds are used for the purposes intended;
2. Budget and account for resources necessary to support their program requirements;
3. Re-delegate these responsibilities, as appropriate;
4. Approve all requests that are submitted to the Office of the Secretary to use funds allocated to the Secretary; and
5. Submit quarterly reports to the Office of Administrative Services, Directorate of Management, of all expenditures of ORR funds, not later than 30 calendar days following the close of the quarter. The report shall contain expenses incurred within the quarter covered by the report to include the event date, event description, the name, title and organization of the principle party, description of item(s) purchased, cost of item(s) purchases, and a summary of expenses and obligations made within the current fiscal year.

## VI. Policy & Procedures

### A. Policy.

1. Pursuant to the DHS Appropriation Act, the Office of the Secretary, and the heads of the offices of Emergency and Preparedness Response, Customs and Border Protection, Immigration and Customs Enforcement, Transportation Security Administration, Federal Law Enforcement Training Center, Citizenship and Immigration Services, United States Coast Guard, and the United States Secret Service are authorized to approve the use of appropriated funds, within the limitations of the appropriations made available for such purpose and this Management Directive, for official representation purposes.
2. The Office of the Secretary may authorize the use of ORR funds for other OEs within the limitations of appropriations made available for such purposes.
3. ORR funds shall only be expended to extend official courtesies to guests of the United States and DHS for the purpose of maintaining the standing and prestige of the United States and DHS.
4. ORR funds may be used to fund official activities that further the interest of DHS or to extend official courtesies for other distinguished and prominent citizens who have made a substantial contribution to the United States or DHS.
5. ORR funds shall not be used to pay for the cost of meals or refreshments for U.S. Government employees in connection with routine interagency or intra-agency working meetings.
6. The use of ORR funds shall be monitored closely to ensure that expenditures made for official, hosted functions, in connection with official events, comply with socially acceptable mores of American society, and that the policy objectives of the United States, DHS, and the interests of the United States taxpayer are served.
7. Records on the use of ORR shall be maintained on a function-by-function basis to provide data on how and why the funds are used. Records shall document the purpose for which the funds are used, to include the names, titles, and the organizations of all persons attending.
8. Records shall be retained in accordance with the National Archives and Records Administration, General Records Schedule 3, Procurement, Supply, and Grant Records.

B. **Procedures:**

1. Requests to use ORR funds allocated for the Office of the Secretary shall be submitted at least two weeks in advance using the attached form, and will include the following information: the purpose of and justification for the event or gift; the type of function and date; the location, the hosting official, the names and titles of dignitaries, the names and titles of other guests; and the estimated and per capita cost.

2. ORR funds shall be used in accordance with the attached guidelines: "Guidance Regarding the Use of Official Reception and Representation (ORR) Funds", dated June 2004.

C. **Questions or Concerns Regarding the Process:**

Questions or concerns regarding this directive shall be directed to the Under Secretary for Management, Office of Administrative Services.

Attachment 1: "Guidance Regarding the Use of Official Reception and Representation (ORR) Funds"

## **GUIDANCE REGARDING THE USE OF OFFICIAL RECEPTION AND REPRESENTATION (ORR) FUNDS JUNE 2004**

### **GENERAL**

The following Organizational Elements (OEs) have received appropriated funds for receptions and representations and are authorized to host ORR events and extend official courtesies, within the limitation appropriated by Congress, on behalf of DHS: the Office of the Secretary, United States Coast Guard, United States Secret Service, Emergency Preparedness & Response, Customs and Border Protection, Transportation Security Administration, Bureau of Immigrations and Customs Enforcement, Citizenship and Immigration Services, and the Federal Law Enforcement Training Center. At their discretion, those DHS officials may delegate authority to host ORR events and extend official courtesies.

The following guidance is not comprehensive, but is indicative of expenses for which ORR may or may not be used for official receptions or representation. All DHS personnel shall use sound judgment and discretion when planning, approving, and conducting functions using ORR funds.

### **VISITS BY FOREIGN DIGNITARIES AND OFFICIALS**

Invitations to foreign dignitaries to visit the United States, at the expense of DHS, shall be extended only by the Secretary or the Deputy Secretary. Proposals to invite foreign dignitaries to the United States at the expense of DHS shall be submitted to the Office of the Secretary, through the appropriate Under Secretary, for approval and will include a planned itinerary and associated cost.

Invitations shall be limited to foreign counterparts of the Secretary and Deputy Secretary, their spouses, and no more than two accompanying staff officers, for a period not to exceed ten days.

Transportation to and from the continental United States shall be the responsibility of the visiting foreign dignitary.

Official courtesies may include the cost of luncheons, dinners, receptions, mementos, and participation expenses at DHS-sponsored events. The Chief of Staff, the Deputy Chief of Staff or the designated DHS Official, with specific justification, may approve other expenses.

## ATTACHMENT 1

Meals, including formal luncheons, dinners and receptions, shall be considered normal DHS responsibilities as the host. Meals and official entertainment costs for the night before and the night after the visit may also be paid by DHS, when approved in advance.

### **ENTERTAINMENT OF FOREIGN DIGNITARIES AND OFFICIALS**

Entertainment may be planned during the official portion of the visit. If provided at DHS expense, activities shall be limited to one or two events per visit and shall be modest in nature, reflecting a level of hospitality that the typical American host, whose rank and position are equal to that of the foreign dignitary, would provide a special guest during a visit in his or her residence.

Government personnel traveling with the official party shall be limited to the number necessary to provide escort, interpreting, security, or other essential services that may be necessary to accomplish the purpose of the visit.

At the discretion of the Chief of Staff or the Deputy Chief of Staff, senior foreign dignitaries who are not DHS invited guests may be hosted in accordance with the guidance set forth in Management Directive 0540.

### **VISITS BY CITIZENS OF THE UNITED STATES**

Official courtesies may be offered to Federal, State, and local dignitaries and officials, such as the President and the Vice President of the United States, members of the Cabinet, members of the legislative and/or judicial branches of the United States Government, and professional staff of Congress, governors of States, mayors of cities, citizens' committees, other distinguished or prominent citizens, who have made a substantial contribution to the nation or DHS. Members of the news media may also be offered official courtesies on certain occasions when authorized by the Chief of Staff, the Deputy Chief of Staff, or the designated DHS Official. The use of ORR funds for routine business meetings is prohibited.

Official courtesies may include the cost of luncheons, dinners, receptions, mementos, and participation expenses at DHS-sponsored events. The Chief of Staff, the Deputy Chief of Staff or the designated DHS Official, with specific justification, may approve other expenses.

## **AUTHORIZED USE OF ORR**

The following expenses may be paid using ORR funds for the official party and authorized Government escort officers and interpreters when required:

- Meals and refreshments.
- Gratuities for services rendered by non-Government personnel.
- Official communications that are made by Government escort officers or interpreters related directly to the official visit.
- Valet service (laundry and dry cleaning service) that would normally not have been incurred except for travel associated with the official visit.
- Entertainment specifically authorized in advance and only when the highest levels of host country officials are present. Entertainment expenses may include: theater, sport activities or events, concerts, and sightseeing tours.
- Taxi service and rental vehicle fees when Government transportation is not provided.
- Gifts and mementos (see restrictions below.)
- Fees for travelers' checks to support mission.

## **GIFTS AND MEMENTOS**

DHS officials that have received appropriated funds for representation purposes, and those officials delegated authority to host ORR events and extend official courtesies, may present gifts and mementos funded by ORR, within the limit established by the Appropriations Act. Gifts and mementos shall be made in the United States.

Officials from other OEs that have not received direct appropriations for ORR purposes may present gifts and mementos only in exceptional circumstances and when specifically authorized to do so by the Chief of Staff, the Deputy Chief of Staff, or the designated DHS official. Expenses for gifts by OEs in these rare circumstances shall be paid from the ORR funding allocated to the Office of the Secretary.

## **UNAUTHORIZED USE OF ORR FUNDS**

ORR funds may not be used for the following expenses:

- Personal items, such as toiletries, cigarettes, beauty care, and shoe shines.
- Gifts or flowers that will be presented to the host by the authorized guests.
- Christmas or greeting cards.
- Receptions and similar expenses in connection with the retirement ceremonies of DHS personnel, unless the expenses are explicitly approved in advance by the Chief of Staff, the Deputy Chief of Staff, or designated DHS official.
- Classified projects for investigative or intelligence purposes.

## ATTACHMENT 1

- Payment of membership fees or dues
- Repairs, renovations, and maintenance to enhance a DHS facility.
- Gifts for DHS officials unless otherwise authorized by this Directive.
- Meals at professional meetings when the primary benefit is to the U. S. Government employee.
- Lobbying expenses.
- Awards for Federal government employees.
- Salary, travel and transportation of DHS personnel.

### **INVITED GUESTS AND ESTABLISHED RATIOS**

Since ORR funds are specifically established to ensure that representation relationships are established and maintained primarily with host country officials and private citizens, the guest lists for representation events should meet the minimum guest ratio guidelines established by DHS. To the extent practicable, a detailed list of proposed attendees shall be provided during the approval process. The list must specifically identify DHS personnel separately from invited dignitaries and other guests. This list shall be updated after the event to disclose the names of those in attendance. The desired ratio of DHS personnel (including spouses when appropriate) to authorized guests are as follows:

In parties of fewer than 30 persons, a minimum of approximately 20 percent of invited guests expected to attend should be honored or distinguished guests and members of their party; and, 80 percent may be DHS personnel, including spouses when appropriate.

In parties greater than 30 persons, a minimum of approximately 30 percent of the invited guests expected to attend should be honored or distinguished guests and members of their party; and, 70 percent may be DHS personnel, including spouses when appropriate.

Spouses of DHS employees may be included in the official representation event when the spouses of authorized guests are invited and expected to attend, and the authorized host determines that attendance of the DHS spouse is appropriate and desirable under the circumstances.

When an event is attended by a large number of DHS personnel, in excess of the desired ratios, only those DHS personnel actively participating in the event or required to attend by virtue of their position shall be considered part of the official party. All other DHS personnel in attendance shall pay a pro rata share of event expenses. At all times, the desired ratios shall be maintained, unless specifically authorized by the Chief of Staff, the Deputy Chief of Staff, or designated DHS official.

## **ACCOUNTABILITY**

All DHS personnel authorized to spend ORR funds shall personally monitor such funds to ensure the highest order of propriety and integrity of all expenditures. The availability of funding shall be verified prior to the use of ORR funds.

Reports of expenditures of ORR funds shall be provided to the Under Secretary for Management, Office of Administrative Services, on a quarterly basis, not later than 30 days after the end of each quarter. The report shall contain expenses incurred within the quarter covered by the report, and a summary of expenses and obligations made within the current fiscal year.