



To enhance mission performance, TSA is committed to promoting a culture founded on its values of Integrity, Innovation, and Team Spirit.

REVISION: This revised directive supersedes TSA MD 200.1, *Directives Management*, dated August 15, 2005.

SUMMARY OF CHANGES: Section 4, Definitions, adds and revises definitions, and particularly, introduces the term “letter”; Section 5, Responsibilities, adds and revises responsibilities for TSA officials and organizational elements; Section 6, Policy, adds, revises and clarifies policies; and Section 7, Procedures, clarifies procedures and information.

1. **PURPOSE:** This directive provides TSA policy and procedures for preparing, submitting, reviewing, coordinating, commenting on, clearing and approving directives and letters.
2. **SCOPE:** This directive applies to all TSA organizational elements.
3. **AUTHORITIES:** [DHS MD 0010.2, Management Directives System](#)
4. **DEFINITIONS:**
 - A. **Approving Official:** A senior management official designated by the head of TSA, or his/her designee, with authority to approve actions for a TSA Headquarters (HQ) Office; i.e., Associate Administrator, Assistant Administrators or equivalents, or their designees.
 - B. **Directive:** Also referred to as “Management Directive” (MD), a formal policy document issued by the appropriate Approving Official to communicate TSA-wide directions and agency positions on selected topics, with impact typically across two or more functional areas or offices, and/or requiring coordination/concurrence of two or more functional areas or offices.
 - C. **Directives Approval Process:** Also referred to as “coordination,” the process whereby directives are formally submitted, reviewed, vetted, reconciled, cleared, approved and posted, as appropriate, consistent with a standardized and controlled management review.
 - D. **Guidance:** Formal management notice within the parameters of an existing directive that is issued to provide information assistance or support, or news on a matter of interest. (e.g., Bulletins, Frequently Asked Questions, etc.).
 - E. **Lead Office:** TSA office assigned or designated, by virtue of its delegated authority or inherent scope and responsibilities, to serve as the responsible TSA office for reviewing, providing comments, and responding to select DHS directives.
 - F. **Letter:** Formal management policy and/or procedures issued by an Office or its delegated Program Office(s) that provides explanation, clarification or position within the parameters of an existing directive on a matter of specific interest to a select functional area.

- G. Manual: Documents describing required or recommended procedures that typically include process steps and examples for the completion of specific tasks, as governed by applicable TSA or Departmental policy, Federal regulation, or statute (e.g., guides, handbooks, standard operating procedures).
- H. Management Directive Point-of-Contact (MD POC): An individual appointed to serve as an HQ Office's authorized representative and contact for directives and forms management activities.
- I. Office: A major TSA organizational element headed by an Approving Official with delegated authority and assigned scope and responsibility for subordinate program offices.
- J. Program Office: A subordinate element of an Office.
- K. Substantive Change: A revision that either implies or requires a policy or procedural change that is presumed to have significant impact within TSA.
- L. System: Refers to the *DHS On-line Tracking System* (DTS), its successor systems, or approved temporary alternative system(s) (e.g., e-mail) that may be approved by DHS or TSA to manage the directives approval process.

5. RESPONSIBILITIES:

- A. Approving Officials are responsible for:
 - (1) Appointing and retaining as many as three (3) MD POCs, via [TSA Form 225, MD POC Appointment](#), consistent with the criteria outlined for such appointments. (ref. **Appendix 1**)
 - (2) Ensuring the appropriate and timely drafting, submission, review, revision, response, and/or recertification of TSA directives for which they have primary responsibility by virtue of their delegated authority or functional scope.
 - (3) Ensuring the appropriate and timely review and coordination of, and updates to, directives impacting their Office, as promulgated by DHS or other Approving Officials bearing primary responsibility.
 - (4) Supporting the role of MD POCs to ensure Office-wide compliance with related directives policies and procedures.
- B. Program Office officials are responsible for:
 - (1) Consulting and coordinating with their Office MD POC(s) prior to and during the drafting of directives and/or letters.
 - (2) Receiving appropriate delegation and approval for the use and dissemination of directives and/or letters.
- C. Office of Strategic Communications and Public Affairs (SCPA) is responsible for:

- (1) Maintaining systems accountability and access controls for directives posted and published on TSA sites.
- (2) Providing appropriate user training and support for relevant software and systems supporting the directives management processes and related Web pages.
- (3) Serving as a technical consultant in coordinating and resolving directives content management and technical issues.

D. Office of Information Management Programs (OIMP) is responsible for:

- (1) Managing the directives approval process and providing oversight for use of the system.
- (2) Establishing the TSA format and standards, and reviewing and approving requests for deviation.
- (3) Reviewing and editing drafts for clarity and consistency in coordination with respective MD POCs.
- (4) Assigning Lead Offices to compile the agency's response to DHS directives.
- (5) Assigning TSA directives numbers, and reviewing and approving TSA directives titling.
- (6) Selecting and managing directives communication strategies and methods (e.g., Web page postings, information notices, etc.), in consultation with SCPA.
- (7) Providing oversight for Web page postings, accesses and content pertaining to directives.
- (8) Providing training and technical guidance to MD POCs and others as appropriate.
- (9) Maintaining appropriate records applicable to directives management.

E. Business Management Office (BMO) Directors are responsible for:

- (1) Managing and interacting with appropriate BMO staff, Office contacts, and other TSA personnel necessary to support directives management policy, procedures, requirements and standards.
- (2) Ensuring qualified MD POCs are appointed and trained to ensure timely and effective directives management support and oversight.

F. MD POCs are responsible for:

- (1) Completing applicable MD POC-related training, briefings and other activities, as directed/required, within the time and manner prescribed.

- (2) Effectively communicating MD POC roles and responsibilities to their respective Office staff.
- (3) Providing technical guidance and administrative assistance for their respective Office.
- (4) Processing directives in compliance with prescribed methods, standards and procedures, including proper use and management of input via the system.
- (5) Reviewing, reconciling and compiling directives comments or responses via the system.
- (6) Coordinating and completing the submission of all drafts and final directives and accompanying documentation.
- (7) Compiling and submitting finally approved directives and all accompanying documents (i.e., the “complete case file”) to OIMP within 2-business days of the effective date of signature.
- (8) Establishing appropriate Intranet links within their office’s *Functional Areas* page.

6. POLICY:

- A. Approving Officials shall issue directives for policies which impact two or more functional areas. All TSA directives shall be coordinated and processed via the directives approval process.
- B. TSA policy shall be promulgated within the constraints and pursuant to the standards and parameters set forth and outlined in this directive and supporting guidance.
- C. TSA directives shall be limited to those published by OIMP, with the technical support of SCPA, via the TSA Intranet or other media approved by the Office of the Assistant Secretary.
- D. TSA directives shall not be further copied, posted or distributed, other than for official TSA business, except as may be appropriate under the Freedom of Information Act.
- E. Offices/Airports shall ensure that their references to directives are limited to hyperlinks to the [Policies & Directives](#) page – no independent postings – to help ensure consistent and current information TSA-wide.
- F. Offices shall adhere to the formats and standards established for directives and letters.
- G. Approving Officials or their designees shall approve (i.e., sign) directives and/or letters pursuant to applicable coordination and approval processes, respectively.
- H. Titling and issuance of TSA policy using “directive,” in part or whole, excepting TSA Security Directives, shall be limited to those policies managed via the directives approval process.
- I. Neither directives nor letters shall be approved with references to unapproved directives or forms.

- J. Points-of-Contact listed in directives shall include a program name, program e-mail address, and at least one (1) contact phone number that is not susceptible to change due to personnel rotation.
- K. TSA directives are issued for two (2) years and shall be reviewed and recertified, revised or cancelled, as appropriate, within 90 days of the 2-year anniversary date.

NOTE: MD POCs may request a 30-day extension with justification via written request through OIMP.

- L. Directives that are not recertified or revised for final publication within 90 days of the 2-year anniversary date are subject to re-coordination at the discretion of the Chief Administrative Officer or his/her designee.
- M. MD POCs shall prepare and submit, and respond to, directives comments electronically via the system using [TSA Form 226, DHS Management Directives Comment Form](#).
- N. Proponent offices shall provide responses and/or reconcile comments, as appropriate, via the system prior to approving/signing a directive.
- O. Significant issues not effectively reconciled at the Approving Official level shall be raised to the Deputy Administrator level for resolution.
- P. Guidance, letters, manuals and similar documents and resources shall be appropriately vetted by proponent offices prior to final approval and dissemination, to include identifying and coordinating technical and legal reviews. (*ref. Appendix 2*)

7. PROCEDURES: Reference applicable guides, manuals, resources and directions via the [Management Directives Program](#) link or your Office's MD POCs.

A. Directives:

- (1) Review the processing requirements and estimated timelines for directives.
- (2) Prepare draft and final directives, and document corresponding comments and responses using approved templates and forms provided via the Intranet.
- (3) Submit required documentation via designated MD POCs in a timely and complete manner for coordination and final approval and dissemination.

B. Letters:

- (1) Prepare draft and final letters, and document corresponding comments and responses using approved templates and forms provided via the Intranet or approved for your Office.
- (2) Coordinate and communicate letters appropriately prior to and following final approval and dissemination.

8. **EFFECTIVE DATE AND IMPLEMENTATION:** This policy is effective immediately upon signature.

APPROVAL



David R. Nicholson, Assistant Administrator for
Finance and Administration/Chief Financial Officer

November 1, 2007
Date

Filing Instructions File 200.1.1
Effective Date: November 1, 2007
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Distribution: Assistant Administrators and equivalents, Managers and Supervisors, BMO
Directors and MD POCs
Point-of-Contact: OIMP, InfoMgtProgs@dhs.gov, 571-227-1474/3536

Appendix 1

Recommended MD POC Appointment Criteria

To help ensure that appointees possess the core competencies and qualifications deemed important to successfully perform directives management duties, the following knowledge, skills and abilities are recommended for consideration in identifying and selecting MD POCs, as well as for evaluating their performance in the collateral duty capacity.

- Skill in use of TSA hardware and software systems, tools and select features (e.g., *Word, Excel*) sufficient to draft, edit and finalize documents and forms.
- Ability to effectively review and edit document spelling, content, grammar and punctuation.
- Ability to effectively communicate orally and in writing and to convey administrative and technical information to program officials.
- Ability to conduct basic research sufficient to identify missing information, misinformation and inconsistencies, and to follow up as needed.
- Ability to manage and mediate competing interests and issues under tight time constraints while maintaining reasonable quality controls and meeting objectives.
- Knowledge of TSA and office organizations, alignments, functionality and administrative and operational issues.

Appendix 2

Recommended Vetting Procedures for Issuing Guidance, Letters, Manuals, Etc.

The following recommendations provide basic standards and are not intended to be all inclusive nor limiting. Contact your MD POC for additional assistance.

- Issuances should be limited to those necessary and appropriate to support established policies and procedures, as reflected in approved DHS or TSA directives, or applicable statutes and/or regulations.
- Proponent offices shall identify and coordinate the appropriate clearances, to include technical and legal reviews.
- TSA HQ Offices should individually determine directions and requirements for vetting and formatting content, excepting any TSA-wide vetting or formatting directions or requirements that may be established or otherwise required.
- TSA HQ Offices should ensure vetting is conducted and clearances received and documented, subject to audit, prior to approvals and dissemination.
- TSA HQ Offices and their subordinate organizational elements should conduct routine reviews and determine actions necessary to recertify or cancel and remove such information.
- TSA HQ Offices and/or their subordinate elements should communicate issuances and changes in a timely and effective manner to impacted employees, contractors and program offices via print and/or electronic media, as appropriate.