



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

1. **PURPOSE:** This directive provides TSA policy and procedures for the full range of preparedness programs and activities within TSA.
2. **SCOPE:** The provisions of this directive apply to all TSA components involved with emergency preparedness planning, training, exercising, incident management operations, and operation of alternate emergency operating sites, including Continuity of Operations.
3. **AUTHORITIES:**
 - A. Aviation and Transportation Security Act (ATSA), Public Law 107-71
 - B. Homeland Security Presidential Directives (HSPDs) 5, 7, 8, 16 and 20
 - C. National Incident Management System
 - D. National Response Plan
 - E. National Security Presidential Directive – 51
 - F. Presidential Decision Directive – 63, Protecting America’s Critical Infrastructure
4. **DEFINITIONS:**
 - A. All Hazards: The omnibus term used by DHS and adopted by TSA to describe the type of incidents that require planning. These include man-made terrorist events or natural disasters such as earthquakes, hurricanes or floods.
 - B. Continuity of Operations (COOP): The activities of individual departments and agencies and their sub-compartments to ensure that their essential functions are performed.
 - C. Incident Management Process: The pre-determined organizational structure, roles and responsibilities and operating norms designed as the command, control, and communications mechanism for TSA during emergencies.
 - D. Incident Manager: The TSA official in charge of directing the TSA national level response to a given emergency situation. Depending on the situation, the incident manager may be the Assistant Secretary or another designated senior staff member.
 - E. National Incident Management System (NIMS): The DHS produced framework, required by HSPD-5, which establishes a core set of doctrine, concepts, principles, terminology and organizational processes designed to bring consistency to incident management at all levels of government, including local, state and Federal responders to an all hazard event.

- F. National Response Plan (NRP): The DHS produced plan, required by HSPD 5, designed to align Federal coordination structures, capabilities, and resources into a unified, all discipline, and all hazards approach to domestic incident management.
- G. Preparedness: As defined in NIMS and the Homeland Security Council's National Preparedness Goal, the range of deliberative, critical tasks and activities necessary to build, sustain, and improve the operational capability to prevent, protect against, respond to, and recover from domestic incidents.
- H. Preparedness Cycle: A continuous process of circular improvement that includes plans development, supporting equipment identification and procurement, incident management training and exercising, and evaluations and corrective actions.
- I. TSA Protection Plans: Documents that convey the types of current or planned security systems that are designed to protect the transportation sector's critical infrastructure and key resources (CI/KR). These plans are developed and updated based on a formal threat, vulnerability, and consequence assessment(s) of the transportation sector's CI/KR.
- J. TSA Recovery Plans: Documents that guide TSA in bringing TSA's own operations back to normal as well as actions TSA takes to assist the transportation sector in resuming normal operations, after a significant disruption caused by either a man-made or natural disaster, or other significant incident.
- K. TSA National Response Plan for All Hazards: The document that guides TSA actions from the immediate reaction to a report of an incident or threat through conclusion of managing the incident or threat.
- L. Transportation Security Preparedness Committee (TSPC): An executive-level steering body sanctioned by the Assistant Secretary and chaired by the Office of Law Enforcement/Federal Air Marshal Service (OLE/FAMS) that ensures agency preparedness efforts are well-coordinated across organizational elements, consistent with national preparedness policy and doctrine, prioritized in a way consistent with intelligence information, and which holistically creates a full state of emergency preparedness within TSA.

5. RESPONSIBILITIES:

- A. The Assistant Administrator for Law Enforcement/Director of the Federal Air Marshal Service is responsible for:
 - (1) Establishing necessary processes, policies and procedures that ensure all resources devoted to preparedness activities within TSA are well coordinated and that associated products are produced in a manner consistent with national guiding doctrine, such as the NRP and NIMS.
 - (2) Chairing the TSPC and establishing a specific charter governing its function [see [TSPC Charter](#)].
 - (3) Ensuring preparedness plans are developed for all hazards and that they are consistent with national preparedness doctrine.

- (4) Ensuring the development and delivery of a training program designed to properly prepare those involved with managing critical incidents in understanding and carrying out their roles.
 - (5) Ensuring that necessary emergency equipment and supplies needed to support emergency plans are identified and that actions are taken to procure, position and maintain these materials.
 - (6) Ensuring an Incident Management System is established that will govern the process for managing emergency situations within TSA.
 - (7) Ensuring alternate operating facilities, such as COOP, are identified and that policies and procedures governing their requirements to support essential agency functions, including incident management and established emergency communications, are planned for and established.
 - (8) Ensuring emergency preparedness within TSA is exercised on an on-going basis and that lessons learned from these exercises, as well as lessons learned from actual incidents, are identified and used to continually improve readiness.
 - (9) Ensuring that OLE/FAMS provides input to agency-level preparedness planning activities and that OLE/FAMS organizational and field-level response plans are synchronized with and complement TSA national-level response plans.
 - (10) Ensuring those persons within OLE/FAMS assigned emergency response responsibilities attend appropriate training, are properly equipped and participate in preparedness exercises.
- B. The Assistant Administrator for Operational Process and Technology/Chief Information Officer is responsible for:
- (1) Supporting the identification of preparedness priorities through the development of national risk assessments, the establishment of risk assessment tools and methodologies, and by assisting TSA offices with conducting risk analyses of the transportation sector.
 - (2) Supporting the technology needs of TSA to ensure necessary emergency operations equipment, such as phones, radios, computers and emergency operations software are planned for, procured, deployed and maintained according to requirements established by operational offices.
 - (3) Ensuring security equipment, that may be needed to support the variety of TSA emergency needs, is identified and that a process for obtaining such equipment is developed and incorporated into preparedness plans.
- C. The Assistant Administrator for Intelligence is responsible for ensuring appropriate information is shared with the TSPC and other authorized elements in TSA as a means of making sure those responsible for prioritizing preparedness efforts are focusing their activity in the most needed areas.

D. The Assistant Administrator for Security Operations is responsible for:

- (1) Ensuring the Office of Security Operations (OSO) provides input to TSA-wide preparedness planning activities and that OSO organizational and field-level response plans are synchronized with and complement the TSA national-level response plans.
- (2) Ensuring those persons within OSO assigned emergency response responsibilities attend appropriate training and participate in preparedness exercises.

E. The Assistant Administrator for Transportation Sector Network Management is responsible for:

- (1) Ensuring those persons within the Office of Transportation Sector Network Management (TSNM) assigned emergency response responsibilities attend appropriate training and participate in preparedness exercises.
- (2) Ensuring that TSNM provides input to agency-level preparedness planning activities and that TSNM organizational-level response plans are synchronized with and complement the TSA national-level response plans.
- (3) Using the TSA established risk management process, develop and maintain plans designed to meet the requirements of the National Infrastructure Protection Plan, specifically the Transportation Sector Specific Plan.

F. The Assistant Administrator for Human Capital is responsible for:

- (1) Developing policies and procedures for releasing, relocating and returning TSA employees who are evacuated from their permanent duty station in connection with emergency situations.
- (2) Providing necessary support during emergency activities including the support outlined in [TSA MD 1100.61-6, *Emergency Evacuation Planning and Procedures*](#).

G. Federal Security Directors and Field Office Special Agents in Charge are responsible for:

- (1) Developing local emergency response plans that complement and support the TSA national-level response plans and the TSA organization-level response plans.
- (2) Ensuring those persons within their workforce assigned emergency response responsibilities attend appropriate training and participate in preparedness exercises.

6. POLICY:

A. TSA, through the TSPC, shall develop the full range of preparedness programs and activities in an integrated and coordinated manner, resulting in comprehensive products that are consistent with national preparedness doctrine.

- B. TSA response plans shall be designed with the intended user of the plan in mind, and shall focus on TSA's:
- (1) Specific security, tactical and strategic responsibilities;
 - (2) Obligations to support the NRP, when requested; and,
 - (3) Plan to assist and protect its own workforce.
- C. Transportation sector prevention and protection plans shall identify related CI/KR consistent with risk-based, consequence-focused vulnerability assessments, and contain the current and planned protection measures applied to counter all hazards.
- D. TSA shall establish and use a National Response Plan for All Hazards, which includes four levels as described below:
- (1) Level 1 - The Level 1 plan shall be primarily checklist-based and serve to guide the Command Duty Officer (CDO) at the Transportation Security Operations Center (TSOC) through initial emergency response actions. These actions include whom to notify, what communication bridges to set up, and what type of information needs to be gathered in order to develop as much situational awareness as possible.
 - (2) Level 2 - The Level 2 plan shall assist the Assistant Secretary, or the designated TSA Incident Manager, by guiding them through the issues and decisions leading to an incident action plan. Additionally, the Level 2 plan shall include a section covering common response themes, as well as specific annexes that map to the Homeland Security Council's 15 National Planning Scenarios and other incidents, as determined necessary by TSA.
 - (3) Level 3 - The Level 3 plan shall describe the process and logistics surrounding the deployment of TSA personnel and equipment to meet any deployment decision reached by decision makers at the Level 2 stage. For example, if the TSA Incident Manager decides it is necessary to deploy additional Federal Air Marshals (FAMs) and Transportation Security Officers (TSOs) to an area, the Level 3 plan documents how to accomplish this task.
 - (4) Level 4 – The Level 4 plan shall include necessary local actions in response to emergencies including procedures for protecting the well-being of TSA employees, assets and facilities, the process and procedures for participating in and/or managing a local command center, and other aspects of local emergency response consistent with TSA national guidance.
- E. TSA shall identify those positions that will be involved in incident management and provide a training program that prepares those individuals in carrying out their responsibilities during an emergency situation. The training developed shall leverage existing DHS courses for NIMS and NRP, and include TSA-specific plans and incident management processes.
- F. TSA shall implement its preparedness through a variety of national and local level exercises, and use the results to continually improve response plans and their execution during emergency situations.

7. **PROCEDURES:** Plans and procedures related to recovery shall focus primarily on bringing TSA operations back to steady-state, including re-establishing full strength staffing, and repairing or replacing security equipment. In addition, recovery plans related to assisting the effected industry's return to steady-state shall be highly reliant on additional protection actions taken during the response phases of the incident. To this extent, TSA's response and recovery are linked, with both leading to additional protection of the transportation sector.
8. **EFFECTIVE DATE AND IMPLEMENTATION:** This policy is effective immediately upon signature.

APPROVAL



Dana A. Brown
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Director of the Federal Air Marshal Service

11/9/2007
Date

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