



Transportation
Security
Administration

OFFICE OF INFORMATION AND TECHNOLOGY
INFORMATION MANAGEMENT PROGRAMS SECTION

TSA MANAGEMENT DIRECTIVE No. 200.1
DIRECTIVES MANAGEMENT PROGRAM

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 May 19, 2010.

SUMMARY OF CHANGES: References to the Office of Information Management Programs (OIMP) have been changed to the Information Management Programs Section (IMPS); and added various administrative updates for clarification throughout directive.

1. **PURPOSE:** This directive provides TSA policy and procedures for an agency-wide *Directives Management Program*.

2. **SCOPE:** This directive applies to all TSA organizational elements.

3. **AUTHORITIES:**

A. [DHS Directive 112-01, Directives System](#)

B. [TSA MD 100.3, Business Management Office Roles and Responsibilities](#)

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., Assistant Administrators or equivalents, or their designees.

B. Commenting Office: An Office that has been tasked with reviewing a coordinated directive and providing feedback/comments and/or questions to the Lead Office by the appointed deadline.

C. Coordination: Process during which a draft version of a proposed directive or revisions to an existing directive are provided to select HQ Offices for TSA-wide vetting for a specified period of time.

D. Directive: Also referred to as “Management Directive” (MD), a formal policy document issued by the appropriate Approving Official to communicate TSA-wide policies 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.

E. Directives Approval Process: The process whereby directives are formally submitted, reviewed, vetted/coordinated, reconciled, cleared, approved and posted, as appropriate, consistent with a standardized and controlled management review.

- F. 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 (FAQs), etc.).
- G. Lead Office: TSA Office that has functional oversight and responsibility for a TSA MD that is undergoing the directives approval process. Also, the 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.
- H. 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.
- I. 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).
- J. 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.
- K. Office: A major TSA organizational element headed by an Approving Official with delegated authority and assigned scope and responsibility for subordinate program offices.
- L. Program Office: A subordinate element of a HQ Office.
- M. Substantive Change: A revision that either implies or requires a policy or procedural change that is presumed to have significant impact within TSA.
- N. System: Refers to a tracking system or an 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 MD POCs, via [TSA Form 225, MD POC Appointment](#), consistent with the criteria outlined for such appointments. (ref. **Appendix 1**) A minimum of one (1) MD POC must be assigned to ensure coverage and representation for the Approving Official.
 - (2) Ensuring the appropriate and timely drafting, submission, review, revision, response, and/or recertification of TSA directives where they serve as the Lead Office or have functional oversight authority.
 - (3) Ensuring the appropriate and timely review and coordination of, and updates to, directives impacting their Office, as promulgated by DHS or other Lead Office Approving Officials bearing primary responsibility.
 - (4) Supporting their 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 Information Technology (OIT) is responsible for:

- (1) Maintaining systems accountability and access controls for directives posted and published on TSA sites.
- (2) Participating in requirements gathering and providing technical support relative to software and systems development and user training.
- (3) Serving as a technical consultant in coordinating and resolving IT issues impacting the directives system.
- (4) Ensuring directives published to the TSA Internet and Intranet sites are appropriately converted and accessible in compliance with Section 508 of the Rehabilitation Act and applicable DHS and TSA directives.

D. Directives Manager, Information Management Programs Section (IMPS), is responsible for:

- (1) Managing the directives approval process and providing oversight for use of the system.
- (2) Establishing the TSA directives 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., Intranet postings, information notices, etc.).
- (7) Providing oversight for Intranet 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 the *Directives Management Program*.
- (10) Managing system access and permissions.
- (11) Reviewing and coordinating exception requests to policies or procedures established in this directive or supplemental guidance.

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 consistent with TSA MD 100.3.
- (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 staffs.
- (3) Providing technical guidance and administrative assistance for their respective Offices.
- (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) Vetting internally with their respective Offices and completing the submission of all drafts and final directives and accompanying documentation.
- (7) Compiling and submitting finally approved directives and all accompanying documents to IMPS within two (2) business days of the effective date of signature.
- (8) Establishing appropriate Intranet links within their Office's program page to link directives content, as appropriate.

6. POLICY:

- A. Approving Officials shall issue appropriate directives within their functional oversight and the scope of their Office's roles and responsibilities using 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 IMPS via the TSA Intranet or other media approved by the Office of the Assistant Secretary.

NOTE: TSA directives should not be further copied posted, or distributed, other than for official TSA business, except as may be appropriate under the Freedom of Information Act or approved by direction of the Office of the Assistant Secretary.

- D. Offices/Airports shall ensure that their references to directives are limited to Intranet hyperlinks to the [Directives Management Program](#) page – no independent postings – to help ensure consistent and current information TSA-wide.
- E. Offices shall adhere to the formats and standards established for directives and letters.
- F. Approving Officials or their designees shall approve/sign and date directives and/or letters pursuant to applicable coordination and approval processes, respectively. Backdating is not authorized.
- G. 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.
- H. Neither directives nor letters shall be approved with references to unapproved directives or forms, nor using hyperlinks to the Internet or otherwise non-DHS/TSA controlled Intranet pages.
- I. Points-of-Contact listed in directives shall include program contact information that includes the program name, where appropriate, a program e-mail address, and optionally, up to three (3) contact phone numbers. Individual contact names may not be used.
- J. TSA directives shall be issued subject to biennial review for recertification, revision or cancellation by the Approving Official or higher-level authority, as appropriate. Such determinations should typically be completed within 90 days of the 2-year anniversary date. However, failure to act within the allotted timeframe shall not invalidate or otherwise impact the application of the approved directive unless specified therein with an expiration period.
- K. 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 Information Officer or his/her designee. Waiver requests to the 90-day requirement shall be made in writing by the MD POC with justification provided, subject to review and approval by the Directives Manager.
- L. MD POCs shall not exceed three (3) per Office. MD POCs shall serve as their respective Approving Officials’/Offices’ administrative and technical officials responsible for preparing, submitting, and responding to directives comments. Comments and responses will be sent electronically via the directives system using [TSA Form 226, Directives Comment Log](#).
- M. Commenting offices and Lead Offices shall provide responses and/or reconcile comments, as appropriate, via the system prior to approving/signing a directive.
- N. Significant issues relative to comments and responses that are not effectively reconciled at the Approving Officials’ level shall be raised to the Deputy Administrator level for resolution. Lead Office Approving Officials shall ensure that reconciliation decisions are properly documented in writing and provided to IMPS via their respective MD POCs.
- O. Guidance, handbooks, letters, manuals, standard operating procedures 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**)

- P. Directives shall be coordinated in accordance with established *Directives Management Program* procedures approved by the Chief Information Officer. Exception requests shall be submitted to IMPS in writing with justifications by/through MD POCs and are subject to approval by the Chief Information Officer or his/her designee.
- Q. TSA Forms shall be coordinated with applicable directive(s) when established or revised pursuant to a new or existing directive that is subject to the directives coordination process. (ref. [TSA MD 200.2, Forms Management](#)).

7. PROCEDURES: Reference applicable guides, manuals, resources and directions via the [Directives Management Program](#) page link or contact the appropriate Office 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 the issuing Office.
- (2) Coordinate and communicate letters appropriately prior to and following final approval and dissemination.

8. APPROVAL AND EFFECTIVE DATE: This policy is approved effective the date of signature unless otherwise specified.

APPROVAL

Signed

January 8, 2016

Stephen W. Rice
Assistant Administrator for Information
Technology/Chief Information Officer

Date

EFFECTIVE

Date

Distribution: Assistant Administrators and equivalents, Managers and Supervisors, Business Management Offices, and MD POCs
Point-of-Contact: IMPS, InfoMgtProgs@tsa.dhs.gov

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.

Recommended Review Procedures for Issuing Supplemental Guidance Materials

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

- Issuances of supplemental guidance materials 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.
- Lead offices shall identify and coordinate the appropriate clearances, to include technical and legal reviews.
- TSA HQ Offices should individually determine directions and requirements for review 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 review and clearances are received and documented, as appropriate, prior to approvals and dissemination.
- TSA HQ Offices and their subordinate program offices should conduct routine reviews and determine actions necessary to update, recertify or cancel, and remove or supersede such information, as appropriate.
- TSA HQ Offices and/or their subordinate program offices should communicate supplemental guidance materials and their changes in a timely and effective manner to impacted employees, contractors and program offices via print and/or electronic media, as appropriate.