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 establishment, implementation, and maintenance of an effective TSA Continuity Program, to ensure the continuity of TSA-related government operations during times of national crisis.

2. **SCOPE:** This directive applies to all TSA Headquarters and Field Components and Organizational Elements (OE).

3. **AUTHORITIES:**

   A. Executive Office of the President, National Security Presidential Directive 51 (NSPD-51)/Homeland Security Presidential Directive 20 (HSPD-20), *National Continuity Policy*

   B. Federal Continuity Directive 1 (FCD-1), *Federal Executive Branch National Continuity Program and Requirements*

   C. Federal Continuity Directive 2 (FCD-2), *Federal Executive Branch Mission Essential Function and Primary Mission Essential Function Identification and Submission Process*

   D. Homeland Security Council, *National Continuity Policy Implementation Plan*

   E. National Communication System (NCS) Directive 3-10, *Telecommunications Operations*

   F. DHS MD 0110, *Organization Control System*

   G. DHS MD 9300.1, *Continuity of Operations Programs and Continuity of Government Functions*

   H. TSA MD 100.0, *TSA Roles and Responsibilities*

   I. TSA MD 200.9, *Vital Records Program*

   J. TSA MD 1100.00-7, *Authority and Responsibility for Human Capital Management*

   K. TSA MD 1100.30-5, *Telework Program*

   L. TSA MD 1100.61-1, *Emergency Dismissals and Closures*

   M. TSA MD 1100.61-6, *Emergency Evacuation Planning and Procedures*

   N. TSA MD 3300.2, *Emergency Preparedness*

4. DEFINITIONS:

A. <u>Alternate Operating Facilities (AOFs)</u>: Alternate Operating Facilities are facilities used by an organization's continuity of operations teams that must provide sufficient space, equipment, and other resources to sustain the agency's continuity team personnel and support staff and associated Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs).

B. <u>Capabilities</u>: Communications infrastructure, facilities, information, trained personnel, and all other assets/resources necessary to conduct MEFs.

C. <u>Catastrophic Emergency</u>: Any incident, regardless of location, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the U.S. population, infrastructure, environment, economy, or government functions.

D. <u>Continuity Evaluation Tool (CET)</u>: The Continuity Evaluation Tool is designed to assess elements of continuity outlined in the annexes of Federal Continuity Directives 1 and 2 (FCDs 1 and 2). The purpose of the Continuity Evaluation Tool is to support the evaluation of an organization's continuity programs, plans, and procedures.

E. <u>Continuity of Government (COG)</u>: A coordinated effort among select elements of the Federal Executive Branch to ensure that National Essential Functions (NEFs) continue to be performed during a catastrophic emergency.

F. <u>Continuity of Operations (COOP)</u>: Activities that enable the Department of Homeland Security (DHS) and its operating units to continue performing their identified essential functions in the event of a threatened and/or actual disruptive incident that adversely affects the Department, its personnel, and/or its facilities.

G. <u>Devolution</u>: Devolution is the capability to transfer statutory authority and responsibility for essential functions from an agency's primary operating staff and facilities to other agency employees and facilities and to sustain that operational capability for an extended period.

H. <u>DHS Components</u>: All of the organizational entities that directly report to the Office of the Secretary, DHS.

I. <u>DHS Continuity Coordinator</u>: An Assistant Secretary, or equivalent level accountable official, appointed by the Secretary of Homeland Security to represent the Department on the Continuity Planning Coordination Committee. This individual represents the Department in all continuity matters and on all continuity-related forums. He/she coordinates with the National Continuity Coordinator on the review and verification of Departmental PMEFs.

J. <u>Enduring Constitutional Government (ECG)</u>: A cooperative effort among the executive, legislative, and judicial branches of the Federal Government, coordinated by the President, to preserve the Constitutional framework under which the Nation is governed. This cooperative effort also preserves the capability of all three branches of government to execute Constitutional responsibilities and provide for orderly succession, appropriate transition of leadership, and interoperability and support of NEFs during a catastrophic emergency.

K. Essential Functions: Those activities an organization determines cannot be deferred during an emergency. These activities must be performed continuously or resumed quickly following a disruption. Essential functions serve as the key continuity planning factors for identifying staffing, communications, alternate facilities, training, and other continuity requirements. The four categories of essential functions used by TSA for continuity planning are:

    (1) MEFs;

    (2) Essential Supporting Activities (ESAs);

    (3) Actions to Preserve or Protect (APPs) people, records, equipment, facilities, and capabilities; and

    (4) Reconstitution and Long-term Recovery Activities (RLRAs).

L. Essential Supporting Activities (ESAs): The facilitating activities that enable the organization to perform its MEFs.

M. Government Functions: The collective functions of the heads of executive branch departments and agencies as defined by statute, regulation, Presidential directive, or other legal authority, along with the functions of the legislative and judicial branches.

N. Mission Essential Functions (MEFs): Functions that a department or agency determines must be performed in order to bring about a full resumption of normal activity, but which are not PMEFs. Resumption of MEFs may need to occur within a very short period of time (e.g., within several days) depending on the nature of the agency mission and the nature of the disruption to normal agency functions.

O. National Essential Functions (NEFs): A subset of government functions necessary to lead and sustain the country during an emergency that must be supported through department and agency continuity capabilities. The NEFs will be the primary focus of the President and the national leadership both during and following a national emergency.

P. Office Emergency Coordinators (OECs): The individuals appointed by the TSA component head (Senior Management Official (SMO), Federal Security Director (FSD), or Supervisory Air Marshal in Charge (SAC)) who serve as subject matter experts (SMEs) and single points-of-contact for all matters pertaining to the planning, coordinating, exercising, and execution of incident management, incident response, vital records, and COOP programs.

Q. Organizational Element (OE): Any program office, airport, or other TSA work unit involved in providing human capital management services to one or several groups of TSA employees.

R. Primary Mission Essential Functions (PMEFs): MEFs that must be performed to support or implement NEFs before, during, and in the immediate aftermath of an emergency. Generally PMEFs must be uninterrupted or resumed during the first 12 hours after the occurrence of an emergency and continued through full resumption of all government functions. PMEFs are assigned at the department level only. DHS Components are not assigned PMEFs.

S. Reconstitution: Reconstitution is the process by which surviving and/or replacement agency personnel resume normal agency operations from the original or replacement primary operating facility.

T. Senior Management Officials (SMOs): The TSA Assistant Secretary (also referred to as the Administrator), Deputy Administrator, Chief of Staff, Chief Counsel, Special Counselor, Privacy Officer, and all Assistant Administrators. For additional information, see TSA Management Directive 100.0, *TSA Roles and Responsibilities*.

U. TSA Components: All organizational entities headed by an Assistant Administrator (or equivalent) that directly report to the Office of the Administrator, TSA.

5. **RESPONSIBILITIES:**

A. The Assistant Secretary (AS)/TSA Administrator is responsible for:

(1) Providing strategic guidance and overarching policy direction for the TSA Continuity Program;

(2) Approving and signing the TSA Headquarters Continuity Plan; and

(3) Approving TSA's MEF(s) as required by FCD-2 and applicable DHS directives.

B. The Assistant Administrator for Law Enforcement/Director of the Federal Air Marshal Service (AA-OLE/FAMS), on behalf of the Assistant Secretary (AS)/TSA Administrator, is responsible for:

(1) Providing management guidance and administrative direction for the TSA Continuity Program;

(2) Advising the TSA Administrator and other TSA SMOs on TSA Continuity Program-related activities;

(3) Integrating continuity planning into the daily operations of TSA as required by FCD-1;

(4) Ensuring that the TSA Continuity Program and associated plans are coordinated with all other TSA emergency preparedness programs and plans; and

(5) Submitting TSA's approved MEF(s) to the DHS Continuity Coordinator as required by FCD-2 and applicable DHS directives.

C. The Assistant Administrator for Information Technology/Chief Information Officer (CIO) is responsible for:

(1) Ensuring that mission critical information technology (IT) systems are operational in accordance with approved Business Impact Assessments, Business Process Analysis, and the approved critical systems list;

(2) Ensuring that TSA is in compliance with the provisions of NCS Directive 3-10, NSPD-51/HSPD-20, and applicable DHS guidance;

(3) Ensuring the IT systems and data storage server(s) for electronic vital records dedicated to TSA's AOFs and devolution facilities are operational, appropriately backed-up, and accessible during all emergencies; and

(4) Ensuring that TSA develops and periodically tests an IT Disaster Recovery Plan for all mission critical IT systems that:

(a) Complies with current Federal and DHS policies and guidance; and

(b) Is provided to the TSA COOP Program Planning Section for incorporation as an annex to the TSA HQ Continuity Plan.

D. All TSA Component Heads are responsible for:

(1) Providing strategic continuity planning, guidance, and direction for their component, and all organizational elements under their control, in accordance with the TSA Continuity Program directive;

(2) Appointing a primary and at least one alternate OEC to manage all aspects of their component's incident management, incident response, and COOP (to include devolution and reconstitution) programs, based on selection criteria provided by the TSA Continuity Coordinator;

(3) Approving and signing their component's COOP plan and ensuring that it is submitted to the TSA Continuity Manager for review and incorporation into the TSA HQ Continuity Plan in accordance with the guidance and instructions issued by the TSA Continuity Coordinator and the TSA Continuity Manager;

(4) Integrating continuity planning into the daily operations of their components and organizational elements as required by FCD-1;

(5) Ensuring their component, and any assigned organizational elements, as appropriate, develop, submit, and maintain continuity plans in accordance with the guidance and instructions issued by the TSA Continuity Coordinator and the TSA Continuity Manager;

(6) Ensuring that their component's continuity program and associated plans address devolution and reconstitution and are coordinated with and comply with other plans developed by the TSA Continuity Program; and

(7) Approving and submitting their office's MEF(s), ESAs, and supporting tasks to the TSA Continuity Coordinator in accordance with the guidance and instructions issued by the TSA Continuity Coordinator and the TSA Continuity Manager.

E. The TSA Continuity Coordinator (i.e., the TSA Chief Plans Officer) is responsible for:

(1) Serving as the TSA senior-level official who oversees TSA's day-to-day continuity activities, ensuring support for overall DHS continuity planning, including devolution and reconstitution;

(2)   Serving as the TSA representative on the DHS Continuity Executive Steering Group;

(3)   Advising the AA-OLE/FAMS, and the AS and SMOs as required, on all TSA Continuity Program matters;

(4)   Providing for the development and maintenance of a Multi-Year Strategy and Program Management Plan (MYSPMP) to support the TSA's Continuity Program and associated requirements;

(5)   Ensuring the submission of TSA Continuity Program data and readiness reports to DHS, as required; and

(6)   Ensuring the incorporation of continuity planning into the daily operations of the TSA.

F. The TSA Continuity Manager (i.e., the EPD Continuity Section Supervisor) is responsible for:

(1)   Managing the day-to-day operations of the TSA Continuity Program;

(2)   Advising the TSA Continuity Coordinator on all continuity matters that impact TSA;

(3)   Representing TSA, as directed by the TSA Continuity Coordinator, on the DHS Continuity Working Group (CWG), the DHS Continuity Communications Executive Steering Committee (CCESC), all other DHS continuity forums and working groups, and all Federal interagency continuity forums;

(4)   Developing and maintaining TSA continuity policy documents and associated implementing instructions and guidance for the TSA Continuity Program, including appropriate directives, guidance, and policy papers, in accordance with FCDs-1 and 2 and directions and guidance issued by DHS;

(5)   Establishing, implementing, and maintaining a standardized TSA process to assess and evaluate the effectiveness of TSA continuity plans and programs (including devolution and reconstitution), and to provide periodic status updates to the TSA Continuity Coordinator to include, but not limited to:

(a) Conducting annual reviews and evaluations of TSA components' and organizational elements' COOP (including devolution and reconstitution) plans in accordance with FCDs 1 and 2, the Continuity Evaluation Tool (CET), and directions and guidance issued by DHS;

(b) Reviewing and evaluating TSA components' and organizational elements' COOP (including devolution and reconstitution) after action reports (AARs) and corrective actions plans (CAPs);

(c) Reviewing and analyzing TSA components' and organizational elements' COOP (including devolution and reconstitution) plans for necessary statistical metrics and template improvements; and

(d) Establishing and maintaining effective liaison with TSA components and organizational elements in support of TSA's missions and continuity program.

(6)   Providing oversight, direction, and guidance for TSA continuity reporting requirements (e.g., the Continuity Status Report and Readiness Reporting System) in accordance with directions and guidance issued by DHS;

(7)   Developing, maintaining, and ensuring the annual review and update of the budget and MYSPMP in support of the TSA Continuity Program and in accordance with FCD 1 and directions and guidance issued on the subject by DHS;

(8)   Providing oversight, direction, guidance, and assistance to TSA OECs in the development and maintenance of comprehensive COOP (including devolution and reconstitution, where appropriate) plans;

(9)   Acting as the TSA's internal single point-of-contact for all Federal continuity-related matters;

(10) Coordinating the development, update, submission, and approval of the TSA's MEFs and associated data, as required under NSPD–51/HSPD–20, and in accordance with the directions and guidance issued by DHS;

(11) Establishing and chairing the TSA OEC Working Group, which provides guidance and direction to the TSA continuity community on all COOP, devolution, and reconstitution related matters;

(12) Developing, implementing, and maintaining a comprehensive TSA Headquarters Continuity Plan and other TSA internal COOP plans that may be required as national and departmental policy evolve, and ensuring that such plans address devolution and reconstitution, where appropriate;

(13) Coordinating the development, implementation, and maintenance of TSA COOP alert and notification plans and procedures;

(14) Ensuring TSA's ability to perform essential functions (MEFs and ESAs) at its AOFs (including devolution facilities), and ensuring the operational readiness of TSA Headquarters' continuity facilities and devolution facilities to include, but not limited to:

   (a) Providing management and oversight of the TSA Headquarters' AOFs as directed by the TSA Continuity Coordinator;

   (b) Identifying and validating the TSA Headquarters' AOFs (including devolution facilities) functional requirements necessary to support the performance of TSA Headquarters' MEFs/ESAs in coordination with TSA Headquarters' offices;

   (c) Ensuring the life-cycle maintenance and replacement, as necessary, of the TSA Headquarters' AOFs, to include associated equipment and systems;

   (d) Exercising management and oversight of the day-to-day usage of the TSA Headquarters' AOFs; and

(e) In accordance with the directions and guidance issued by DHS and contained in FCD-1, developing, publishing, and maintaining guidance for identifying and validating criteria for TSA AOF functional capabilities and requirements.

(15) Providing direction and oversight, and coordinating with the OLE/FAMS, Emergency Preparedness Division, Readiness Branch, Exercise and Evaluation Section to:

(a) Establish and maintain a comprehensive TSA Test, Training, and Exercise (TT&E) program to evaluate and validate the TSA Continuity Program and associated plans, and procedures;

(b) Ensure compliance with DHS guidance and direction concerning planning for, conducting, and evaluating continuity exercises (including devolution and reconstitution exercises); and

(c) Ensure TSA's participation in DHS-level and national-level continuity exercises and continuity communication tests, as appropriate.

(16) Developing criteria for the selection of personnel to serve as OECs to include:

(a) Minimum security clearance requirements;

(b) Recommended grades:

(c) Emergency employee designation; and

(d) Recommended minimum training and experience.

(17) Coordinating with TSA's Office of Information Technology (OIT) to:

(a) Ensure that the status of TSA continuity communication capabilities is reported on a quarterly and annual basis as required by NCS Directive 3-10 and NSPD–51/HSPD–20. The TSA Continuity Manager is responsible for developing and submitting the NCS Directive 3-10 report based on information provided by OIT;

(b) Ensure that all IT and telecommunications requirements that support the TSA Continuity Program and its associated plans (including the TSA Components' COOP plans) are identified and validated; and

(c) Ensure that IT solutions developed to support continuity functional requirements at TSA Headquarters' continuity facilities are reviewed, as required.

(18) Coordinating with TSA's Chief Security Officer, to ensure the development, implementation, and maintenance of TSA policy and guidance pertaining to the designation of Federal Emergency Response Officials (FERO), in accordance with the directions and guidance issued by DHS;

(19) Coordinating with TSA's Chief Administrative Officer to ensure:

(a) Development, implementation, and maintenance of TSA policy and guidance pertaining to vital records management in support of the TSA Continuity Program and plans, and in accordance with FCD-1 and the directions and guidance issued by DHS; and

(b) Development, implementation, and maintenance of the TSA Reconstitution Plan, in accordance with FCD-1 and the directions and guidance issued by DHS.

(20) Coordinating with TSA's Office of Human Capital to ensure the development, implementation, and maintenance of TSA policy and guidance pertaining to human capital issues in support of the TSA Continuity Program and associated plans, and in accordance with FCD-1 and the direction and guidance issued by DHS.

G. TSA Regional Directors, FSDs, and Field Office SACs are responsible for:

(1) Complying with the guidance and instructions issued by the TSA Continuity Coordinator, the TSA Continuity Manager, and their Component Head;

(2) Appointing a primary and at least one alternate OEC to manage all aspects of their organizational element's incident management, incident response, and COOP (to include reconstitution) programs, based on selection criteria provided by the TSA Continuity Coordinator;

(3) Approving and signing their organizational element's COOP plan and ensuring that it is submitted to the TSA Continuity Manager for review in accordance with the guidance and instructions issued by the TSA Continuity Coordinator and the TSA Continuity Manager;

(4) Integrating continuity planning into the daily operations of their organizational element as required by FCD-1;

(5) Ensuring their organizational element develops, submits, and maintains continuity plans in accordance with the guidance and instructions issued by the TSA Continuity Coordinator and the TSA Continuity Manager; and

(6) Ensuring that their organizational element's continuity program and associated continuity plans address reconstitution and are coordinated with and comply with TSA Continuity and Emergency Preparedness Programs and plans.

H. TSA OECs are responsible for:

(1) Coordinating all component and organizational continuity-related matters with the TSA Continuity Manager or designated staff;

(2) Managing, directing, and coordinating all continuity and emergency preparedness-related matters for their component or OEs;

(3) Advising their SMO, FSD, or SAC, as appropriate, on all continuity matters that impact their respective component and OEs;

(4)   Representing their respective components and, as appropriate, OEs on the TSA OEC Working Group and on other TSA continuity related committees, working groups, and forums;

(5)   Developing, implementing, and maintaining a comprehensive continuity plan for their respective components and OEs in accordance with guidance and instructions issued by the TSA Continuity Coordinator and the TSA Continuity Manager;

(6)   Documenting continuity training of all assigned personnel in accordance with the guidance and instructions issued by the TSA Continuity Coordinator and the TSA Continuity Manager; and

(7)   Developing, implementing, maintaining, and testing an employee alert, notification, and accountability plan for their components and OEs in accordance with the guidance and instructions issued by the TSA Continuity Coordinator and the TSA Continuity Manager.

6. **POLICY:**

A. TSA shall be prepared to respond to any threat, emergency or event that may disrupt operations based on an effective continuity capability, to ensure the continued performance of essential functions under all conditions.

B. All TSA continuity plans must be responsive and executable with little or no warning and shall comply with DHS and TSA planning guidelines and FCD-1.

7. **PROCEDURES:** Specific and detailed responsibilities pertaining to continuity planning and programming can be found on the TSA Emergency Preparedness iShare site.

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

APPROVAL

Signed   January 18, 2012
_____   _____
Gale D. Rossides   Date
Deputy Administrator

EFFECTIVE

_____
Date

Distribution: TSA Administrator, Deputy Administrator, Assistant Administrators, Federal Security Directors, Supervisory Air Marshals in Charge, Chief Counsel, Special Counsel, Privacy Officer
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