



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

NOTE: Pursuant to Section 101 of the Aviation and Transportation Security Act (49 U.S.C. 114(n)), this directive and all related Handbooks, Attachments, and Appendices, establish Transportation Security Administration (TSA) policy and must be applied accordingly.

REVISION: This revised directive supersedes TSA MD 1100.73-5, *Employee Responsibilities and Conduct*, dated May 21, 2009.

SUMMARY OF CHANGES: Title of directive changed from Employee Responsibilities and Conduct to Employee Responsibilities and Code of Conduct; added references to the TSA Guide to Major Ethics Rules throughout the directive; Section 3, added additional authorities; Section 5, clarified the responsibilities of employees and supervisors to review this directive, Handbook, and the Standards of Ethical Conduct for Employees of the Executive Branch or summary; added the requirement that employees must review the revised directive and/or Handbook within 45 days after revision; added references to the Collective Bargaining Agreement; added statement that this directive and Handbook may be found on Online Learning Center; Section 6, reorganized for clarification.

1. **PURPOSE:** This directive provides TSA policy and procedures for employee responsibilities and code of conduct, as defined in this directive and the accompanying Handbook, which conform to generally accepted standards of behavior and ethical conduct for Federal employees.
2. **SCOPE:** This directive applies to all TSA organizational elements and all TSA employees.
3. **AUTHORITIES:**
 - A. The Aviation and Transportation Security Act, Pub L. 107-71 (ATSA)
 - B. 18 U.S.C. §§ 201-209
 - C. 5 C.F.R. Parts 2634, 2635, 2640, 2641
 - D. 5 U.S.C. § 7321, *et seq.*; 5 C.F.R. Parts 733-734
 - E. Executive Order 12674
 - F. Executive Order 12731
4. **DEFINITIONS:** See [*TSA Handbook on Employee Responsibilities and Code of Conduct*](#).

5. RESPONSIBILITIES:

- A. TSA employees are responsible for behaving in a way that does not bring discredit upon the Federal Government or TSA, and for observing the following basic on-the-job rules:
- (1) Reporting to work on time and ready, willing and able to perform the duties of their position. This means reporting for duty free from any effects of alcohol and/or drugs that may impair job performance or conduct; physically and mentally capable of performing his or her job requirements and in appropriate clothing and/or outfitted with required tools or equipment.
 - (2) Responding promptly to and fully complying with directions and instructions received from their supervisor or other management officials.
 - (3) Exercising courtesy and tact (whether on or off-duty) in dealing with fellow workers, supervisors, contract personnel, and the traveling public, even in the face of provocation. Supporting and assisting in creating a productive and hospitable model work environment.
 - (4) Maintaining a clean and neat personal appearance during working hours. TSA expects employees to dress appropriately in order to reflect the level of professionalism commensurate with their duties and responsibilities. TSA uniformed employees will comply with all policies relating to uniformed employees' appearance and responsibilities. Refer to [TSA MD 1100.73-2, TSO Dress and Appearance Responsibilities](#), and Article 8, *Uniforms and Uniform Allowance*, under the [Collective Bargaining Agreement](#) between TSA and the American Federation of Government Employees.
 - (5) Safeguarding and appropriately handling all classified information, SSI, FOUO/SBU information, and Sensitive PII to prevent unauthorized disclosure to persons not having a need to know the information consistent with applicable law and policy, to include, but not limited to, [TSA MD 3700.4 Handling Sensitive Personally Identifiable Information](#), [DHS MD 11056.1 Sensitive Security Information](#); [DHS MD 11042.1 Safeguarding Sensitive but Unclassified \(For Official Use Only\) Information](#); [TSA MD 2810.1, SSI Program](#), and [SSI Policies and Procedures Handbook](#).
 - (6) Conserving, protecting and ensuring appropriate use of Federal resources, time, information, and personnel (both Federal and contract).
 - (7) Observing and abiding by all laws, rules, regulations and other authoritative policies and guidance.
 - (8) Reporting all personal arrests, including summons and citations to appear before a court, to the immediate supervisor or to any manager in the chain of supervision within 24 hours of the arrest or as soon as possible thereafter. This reporting requirement does not extend to routine traffic citations not requiring court

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appearance. All arrests, including summons and citations, related to DUI/DWI or illegal drug use must be reported. Refer to [TSA MD 1100.75-4, Addressing DUI and DWI Offenses](#), for additional information.

- (9) Reporting any known or suspected violation of law, rule, regulation, policy, or Standard Operating Procedure (SOP) by a person to any manager in the chain of supervision and/or to the Office of Inspection (OOI), whenever such violation may have a nexus to the TSA mission and/or effective operation of the agency, or when it occurs in the workplace.
- (10) Reporting any known or suspected waste of funds, fraud, abuse of authority or a substantial and specific danger to the public health and safety to the immediate supervisor or a manager in the chain of supervision, or to any other appropriate authority such as the affected program office, OOI, the Department of Homeland Security (DHS) Office of the Inspector General (OIG), or the U.S. Office of Special Counsel.
- (11) Upholding, with integrity, the public trust involved in the position to which assigned, abiding by the 14 general principles of ethical conduct (5 C.F.R. § 2635.101) and avoiding the appearance of using public office for private gain.
- (12) If designated to file a financial disclosure form, filing a financial disclosure (public or confidential) in a timely manner and completing ethics training when required.
- (13) Seeking advice and guidance as needed through their supervisory chain concerning their responsibilities under this and other policies governing employee conduct. Guidance also may be sought through the local Human Resources Specialist or ethics counselor.
- (14) Reviewing this directive, the accompanying Handbook, and the Standards of Ethical Conduct for Employees of the Executive Branch (5 C.F.R. Part 2635), (the “Standards”) or a comprehensive summary of the *Standards* such as the [TSA Guide to Major Ethics Rules](#), on an annual basis. Employees also must review this directive, the Handbook, and/or the *Standards* after each revision within 45 calendar days of the effective date of the directive and Handbook.

NOTE: Employees will be provided with up to one hour of official duty time annually to complete the review.

B. Managers and supervisors are responsible for:

- (1) Ensuring all new employees undergo an initial orientation in which they receive and acknowledge receipt of a personal copy (paper or electronic) of this directive, related Handbook, and the *Standards* or a comprehensive summary of the *Standards* such as the [TSA Guide to Major Ethics Rules](#).

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NOTE: This acknowledgement will be accomplished on an individual basis by having the employee sign [TSA Form 1149, *Employee Responsibilities and Code of Conduct Acknowledgement*](#).

- (2) Ensuring all employees under their supervision review this directive, the accompanying Handbook, and the *Standards*, or a comprehensive summary of the *Standards* such as the [TSA Guide to Major Ethics Rules](#), on an annual basis.

NOTE: This directive and Handbook may also be found on the Online Learning Center (OLC).

- (3) Managers and supervisors also must ensure employees under their supervision review this directive, the Handbook, and/or comprehensive summary of the *Standards* after each revision. Managers and supervisors must ensure that, if this directive, accompanying Handbook, and/or comprehensive summary of the *Standards* are revised, employees receive a personal copy (paper or electronic) of the revised materials. This also requires each employee to acknowledge receipt and review the revised directive, accompanying Handbook, and/or comprehensive summary of the *Standards*¹.

NOTE: This acknowledgement can be accomplished on an individual basis by having the employee sign TSA Form 1149 or by reviewing TSA MD 1100.73-5 and Handbook on OLC and completing the associated certificate of completion or equivalent.

- (4) Providing positive leadership and serving as a role model for subordinates by complying with all employee responsibilities, and demonstrating a commitment and sense of responsibility to their job and high ethical standards.
- (5) Treating fellow TSA employees with dignity, respect, and in a fair and equitable manner. Supervisors and managers must communicate to their staff that discrimination, harassment, a hostile work environment, retaliation, or the appearance thereof, will not be condoned or tolerated.
- (6) Taking action promptly to notify OOI and the Personnel Security Section (PerSec) within the Security Branch of known or suspected arrests or criminal activity on the part of employees. Also, in accordance with TSA's Personnel Security Program, supervisors must report any information that raises doubts about an employee's continued eligibility for TSA employment or security clearance, such as access to sensitive information as described in Section 5A(5).
- (7) Enforcing employee compliance with all TSA directives, policies, programs and, where applicable, DHS directives, policies and programs; timely investigation of reported non-compliance with all directives, policies, and programs; immediate and

¹ The acknowledgement of receipt form described in paragraphs 6B(1)-B(3) above will be filed in the employee's Employee Performance File (EPF).

appropriate corrective action when an employee is found not to be in compliance with TSA directives, policies, or programs.

- C. The Office of Human Capital (OHC) is responsible for developing and administering policies governing TSA employee responsibilities and code of conduct.
- D. The Office of Chief Counsel (OCC) is responsible for providing legal advice on employee activities covered under this directive and is the only office authorized to provide ethics advice.

6. POLICY:

- A. TSA employees must comply with all standards, responsibilities, and code of conduct established by this directive and shall report any violation(s) of this directive to appropriate management officials.

NOTE: Failure to comply with this directive and/or failure to report violations of this directive may result in appropriate corrective, disciplinary, or adverse action, up to and including removal.

- B. Employees' conduct at work directly affects the proper and effective accomplishment of their official duties and responsibilities. Employees must perform their duties in a professional and business-like manner throughout the workday.
- C. Employees are expected to behave professionally and in accordance with this directive and/or other applicable guidance while in a temporary duty travel status (*e.g.*, while attending training) or when otherwise away from their regularly assigned post of duty (*e.g.*, while attending meetings at an off-site location).
- D. Employees in direct contact with the public bear a heavy responsibility, as their conduct and appearance have a significant impact on the public's attitude toward the Federal government and TSA.
- E. While on or off-duty, employees are expected to conduct themselves in a manner that does not adversely reflect on TSA, or negatively impact its ability to discharge its mission, cause embarrassment to the agency, or cause the public and/or TSA to question the employee's reliability, judgment or trustworthiness.
- F. Employees are required to comply with the *Standards*, related conflict-of-interest statutes (18 U.S.C. §§ 201-209) and regulations, and the Hatch Act (5 U.S.C. § 7321) and regulations.
- G. Employees shall not use their office or position for their personal advantage or the advantage of others.
- H. Employees will be provided with up to one hour of official duty time annually to review

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this directive, the accompanying Handbook, and the *Standards* or a comprehensive summary of the *Standards* such as the [TSA Guide to Major Ethics Rules](#).

7. **PROCEDURES:** See [TSA Handbook on Employee Responsibilities and Code of Conduct](#).
8. **APPROVAL AND EFFECTIVE DATE:** This policy is approved and effective the date of signature unless otherwise specified.

APPROVAL

Signed

September 30, 2013

Karen Shelton Waters
Assistant Administrator for Human Capital

Date

EFFECTIVE

Date

Distribution: Administrator, Deputy Administrator, Assistant Administrators, Regional Directors, Federal Security Directors, Supervisory Air Marshals in Charge, Business Management Division Directors, Administrative Officers, and Human Resources Specialists

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