CIOP CHAPTER 1

IT DIRECTIVES MANAGEMENT

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APPENDICES

Section 1.1   Purpose

1.1.1   This order establishes the directives management process for the U.S. Department of Transportation (DOT) Information Technology (IT) Program. It prescribes the Chief Information Officer (CIO) Policy (CIOP) as the means for issuing IT policy and procedures, and assigns management responsibility for IT directives, including producing, storing, and transmitting IT directives.

1.1.2   This order establishes the CIOP as the single authoritative source for IT directives within DOT and transitions the IT directives management process from a paper-based system to an electronic directives management system accessed on an official IT Directives website.

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Section 1.2　Background

1.2.1　Directives are the primary means within DOT to issue and describe IT policies, organization, responsibilities, methods, and procedures. There are three types of IT directives.

1.2.1.1　Orders are permanent directives and stay in effect until cancelled.

1.2.1.2　Notices are temporary directives and expire within 1 year from their effective date and are used when the situation requires immediate action.

1.2.1.3　Supplements are issued by organizations other than the DOT CIO to provide additional guidance or instructions relevant to the original directive.

1.2.2　The Departmental Information Resources Management Manual (DIRMM), DOT Order 1350.2, was established by the DOT CIO as a means of publishing IT directives in a single structured document. Over time, IT directives were also published by means of memoranda and other less formal means, and these less formal directives have not been well maintained, including cancellations and/or updates. This has caused confusion throughout DOT. The policies contained in this order will organize and structure IT directives within a 1 year period.

1.2.3　The DIRMM was created as a paper-based document and needs to be updated both in content and structure. The establishment of the CIOP marks the beginning of electronic publishing where items, such as references, terms, and roles, are hyperlinked to the CIO Encyclopedia (CIOpedia). With electronic publishing, IT directives are more accessible and easily maintained.

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Section 1.3　Scope and Applicability

1.3.1　The CIOP is the authoritative source for all DOT IT directives.

1.3.2　The CIOP includes directives that apply to all DOT organizations, employees, contract personnel, and users. It also includes directives that apply to all IT resources, including hardware, software, networks, data and services used by or on behalf of the DOT. Each chapter of the CIOP shall provide a specific statement about its applicability.

1.3.3　This chapter of the CIOP applies to all IT directives published by the DOT CIO, and Supplements as specified.

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Section 1.4   Policy

1.4.1   The Associate CIO for IT Policy Oversight shall establish and maintain an effective, efficient IT directives management program for the DOT CIO in compliance with the DOT Directives System.

1.4.2   IT directives shall be uniquely numbered. The Associate CIO for IT Policy Oversight or designee shall assign directive numbers.

1.4.2.1   Orders shall be numbered 1351.x.n, where x is the CIOP chapter number and n is the chapter revision number. It is not necessary to label the initial version of a chapter. Thus, this chapter is labeled 1351.1 because it is the initial version of chapter 1. Should a revision to this chapter be necessary, it would be labeled 1351.1.1 to indicate the first revision of chapter 1; the second revision would be labeled 1351.1.2 and so forth.

1.4.2.2   Notices shall be presented in CIOP Chapter 2 and shall be numbered 1351.2.y where y is the unique number for the notice.

1.4.2.3   Appendices shall be lettered, following the directive number, e.g. 1351.1A or 1351.2.6B.

1.4.3   IT directives shall be produced in the latest DOT standard word processing software. Tables that do not require any calculations or functions may be produced using the table feature of the word processing software. Tables requiring calculations or functions shall be produced in the latest DOT standard spreadsheet software and embedded as objects in the directive document, where appropriate. Figures shall be produced in the latest DOT standard drawing software and embedded as objects in the directive document, where appropriate.

1.4.4   To maintain currency, each Office of Primary Responsibility (OPR) shall review policies within their area of expertise on at least an annual basis.

1.4.5   References and terms, including acronyms, shall be listed in the CIOpedia.

1.4.6   CIOP chapters shall be developed and revised using the IT Directive Publication Process and the IT Directive Structure. The IT Directive Structure shall be followed unless a waiver is granted by the Associate CIO for IT Policy Oversight. Prior to preparing/updating a directive, the OPR and the Associate CIO for IT Policy Oversight or designee shall determine whether a Directive Conference is required.

1.4.7   The use of notices shall be limited to situations where the rigorous time requirements of the IT Directive Publication Process would adversely affect the mission of the DOT CIO. The Associate CIO for IT Policy Oversight or designee and the

notices' OPR shall devise and agree to a modified process and timeline to execute the required IT directives publication steps and the IT Directive Structure. The effective period for notices shall be limited to 1 year.

1.4.8   A Record of Comments documenting comments and their disposition shall be prepared for all phases of the IT Directive Publication Process.

1.4.9   CIOP chapters shall be reviewed annually and validated by the OPR.

1.4.10   IT directives shall be reviewed by General Counsel and, as appropriate, Assistant Secretaries, Operating Administrations, and the Executive Secretariat. As appropriate, certain IT directives may require concurrence by the Chief of Staff, the Deputy Secretary or the Secretary. Additional review requirements may be established by the Associate CIO for IT Policy Oversight.

1.4.11   IT directives shall be signed by the DOT CIO. As necessary or desirable, IT directives may be co-signed by authorized personnel.

1.4.12   Supplements developed by an Operating Administration (OA) shall not alter an order or notice, without express written concurrence from the DOT CIO, and shall not duplicate an order or notice.

1.4.13   Existing supplements published by an OA shall be identified and/or provided to the Associate CIO for IT Policy Oversight for appropriate posting and/or linking to the DOT IT directives Web site to enable a single perspective of IT policy for DOT.

1.4.14   New supplements developed by an OA shall be reviewed by the Associate CIO for IT Policy Oversight prior to publication.

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Section 1.5   Roles and Responsibilities

1.5.1   The Associate CIO for IT Policy Oversight in the Office of the CIO is responsible for all IT directives issued and reviewed by the DOT CIO or above. Specifically, the Associate CIO for IT Policy Oversight or designee shall:

1.5.1.1   Oversee all directives activities for the Office of the CIO to ensure compliance with directives management processes.

1.5.1.2   Manage the IT Directives Web site, including the CIOP website.

1.5.1.3   Review new directives to ensure full consideration of impacts on other directives, workload, and business processes.

1.5.2   The OPR is the organization that initiates the directive. The OPR shall:

1.5.2.1   Prepare and annually review the directive content, ensuring it has clear intent, contains the right material, and complies with the IT Directive Publication Process.

1.5.2.2   Attempt to adjudicate comments obtained throughout the IT Directive Publication Process and shall identify unresolved comments to the DOT CIO.

1.5.3   The OPR for this chapter is the Associate CIO for IT Policy Oversight.

1.5.4   Personnel requested to review and comment on draft directives shall:

1.5.4.1   Ensure the appropriate subject matter experts (SME) thoroughly review the directive and provide comments in accordance with the instructions provided.

1.5.4.2   Ensure the review is conducted prior to the end of the comment period, or if this proves impossible, request a one-time extension prior to the end of the original comment period.

1.5.4.3   Non-concur only when there are serious operational or legal concerns or substantive flaws in language or process. The non-concurrence must state the specific reason(s) and include a proposed solution.

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Section 1.6   Dates

1.6.1   This chapter is effective the date it is signed and shall be reviewed annually by the OPR.

1.6.2   DOT IT directives not incorporated into the CIOP within 12 months of the effective date of this chapter shall be considered cancelled.

1.6.3   OA CIOs shall identify and/or provide existing supplements to the Associate CIO for IT Policy Oversight within 3 months of the effective date of this chapter.

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Section 1.7   Cancellations

1.7.1   The DIRMM chapters remains in effect until specifically cancelled by subsequent chapters of the CIOP, or until cancelled by default 12 months from the effective date of this chapter.

Section 1.8   Compliance

1.8.1   IT directives shall comply with this chapter of the CIOP. DOT IT directives published prior to the creation of the CIOP shall be evaluated within 12 months by the OPR to ensure incorporation into the CIOP, as necessary and desired. DOT IT directives not incorporated into the CIOP within 12 months shall be considered cancelled.

1.8.2   IT directives published outside the CIOP after the effective date of this chapter are invalid.

Section 1.9   Waivers

1.9.1   Requests for exceptions to the policy in this chapter shall be submitted in writing to the Associate CIO for IT Policy Oversight. The Associate CIO for IT Policy Oversight shall provide a written waiver or justification for denial.

1.9.2   Appeals shall be addressed to the DOT CIO, who has the authority to unilaterally make the final determination.
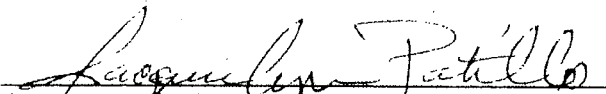
Section 1.10   Audit Procedures

1.10.1   The Associate CIO for IT Policy Oversight or designee shall ensure each CIOP chapter is reviewed annually by the OPR.

Section 1.11   Approval

Jacquelyn Patillo   Date   5-21-09
DOT Acting Chief Information Officer

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APPENDIX A: IT DIRECTIVE PUBLICATION PROCESS
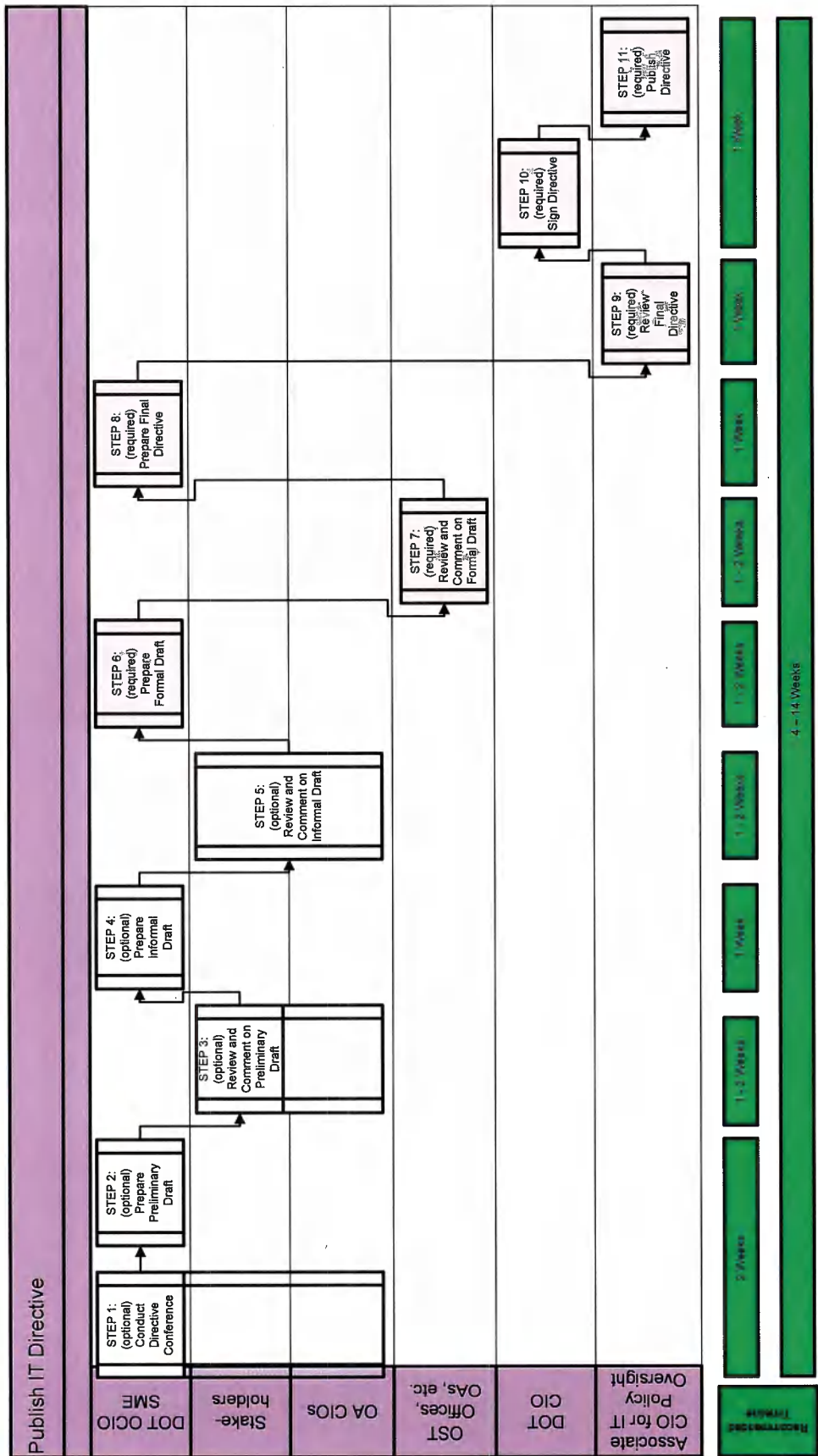

FIGURE 1: IT DIRECTIVE PUBLICATION WORKFLOW

NOTES:
A.   Figure 1 depicts the general process for developing a new or updating an existing IT directive. The timeline at the bottom of the diagram is approximate and is meant to show the recommended times for various steps in the process. Actual time may vary based on complexity and subject matter.
B.   The Office of Primary Responsibility (OPR) shall consult with the Associate CIO for IT Policy Oversight or designee prior to beginning this process.
C.   To the maximum extent possible, IT directives shall be processed using the CIO Policy (CIOP) portal.
D.   All IT directives, both draft and final, shall be published and/or accessible on the CIOP portal.
E.   Steps 1 through 5 (optional) are typically used for complex IT directives, when there is a need to collaborate in formulating policy or when the directive has significant impact on business processes or significant financial impact.
F.   Steps 6 through 11 (required) are mandatory IT directive publication steps.

(IT Directive Publication Workflow)

STEP 1: CONDUCT DIRECTIVE CONFERENCE (optional)
1.1   The Associate CIO for IT Policy Oversight or designee shall determine when a Directive Conference is necessary based on the complexity of the directive. The OPR may elect to hold a Directive Conference as a means of obtaining insight into policy impacts or to assist in policy formulation.
1.2   Notification of the Directive Conference shall be provided at least 2 weeks in advance and shall be sent to all stakeholders, all DOT Office of the Chief Information Officer (OCIO) Associate CIOs, and all Operating Administration (OA) CIOs. The notification shall include the following:
- Broad subject matter of the proposed IT directive, such as Information Assurance (IA), Governance, Shared Services, Project Management, etc.
- Objective of the proposed IT directive: The objective shall be stated in terms of the issue(s) the directive is intended to resolve.
- Proposed policies, if known.
- Impact of the proposed policies, if known.
- Date, time, and location for the meeting
- Suggested/Invited attendees

1.3   Minutes of the Directive Conference shall capture significant matters and shall include a list of attendees.

(IT Directive Publication Workflow)

STEP 2: PREPARE PRELIMINARY DRAFT (optional)
2.1   When a Directive Conference is held, the OPR shall generally publish the Preliminary Draft Directive within 1 week to ensure all stakeholders remain engaged.
2.2   The Preliminary Draft Directive shall comply with the IT Directive Structure.

(IT Directive Publication Workflow)

STEP 3: REVIEW AND COMMENT ON PRELIMINARY DRAFT (optional)
3.1   The OPR shall allow at least 1 week for review and comment by stakeholders and OA CIOs.
3.2   A Record of Comments is not necessary for Preliminary Draft Directives.
3.3   If the OPR determines the directive will not be pursued, the OPR shall notify the Associate CIO for IT Policy Oversight or designee and provide a statement explaining the action.

(IT Directive Publication Workflow)

STEP 4: PREPARE INFORMAL DRAFT (optional)
4.1   The OPR shall generally publish the Informal Draft Directive within 2 weeks of the Directive Conference, if a conference is held.
4.2   The Informal Draft Directive shall comply with the IT Directive Structure.

(IT Directive Publication Workflow)

STEP 5: REVIEW AND COMMENT ON INFORMAL DRAFT (optional)
5.1   The OPR shall allow at least 1 week for review and comment by stakeholders and OA CIOs.
5.2   A Record of Comments is required for Informal Draft Directives.

(IT Directive Publication Workflow)

STEP 6: PREPARE FORMAL DRAFT (required)
6.1   The OPR shall generally publish the Formal Draft Directive within 2 weeks of receiving comments on the Informal Draft Directive.
6.2   The Formal Draft Directive shall comply with the IT Directive Structure.

(IT Directive Publication Workflow)

STEP 7: REVIEW AND COMMENT ON FORMAL DRAFT (required)
7.1   The OPR shall work with the Associate CIO for IT Policy Oversight or designee to ensure the Formal Draft Directive follows the process for concurrence in DOT Order 1320.16B, Department of Transportation Directives System, and CIOP Chapter 1.
7.2   The OPR shall allow at least 2 weeks for review and comment.
7.3   A Record of Comments is required for Formal Draft Directives.

(IT Directive Publication Workflow)

STEP 8: PREPARE FINAL DIRECTIVE (required)

8.1   The OPR shall generally prepare the Final Directive within 1 week of receiving comments on the Formal Draft Directive.

8.2   A Record of Comments is required for Final Directives.

(IT Directive Publication Workflow)

STEP 9: REVIEW FINAL DIRECTIVE (required)

The Associate CIO for IT Policy Oversight or designee shall assign a directive number and review the Final Directive in preparation for signature.

(IT Directive Publication Workflow)

STEP 10: SIGN DIRECTIVE (required)

The Associate CIO for IT Policy Oversight or designee shall obtain signatures for the Final Directive.

(IT Directive Publication Workflow)

STEP 11: PUBLISH DIRECTIVE (required)

11.1   The Associate CIO for IT Policy Oversight or designee shall electronically publish the Approved Directive, maintaining previous versions.

11.2   The Associate CIO for IT Policy Oversight or designee shall provide notification of the Approved Directive to the appropriate organizations.

11.3   The Associate CIO for IT Policy Oversight or designee shall, in accordance with records management requirements, maintain the official file of Approved Directives and all related materials, such as, and only as applicable:

- Announcement and minutes from the Directive Conference
- Draft documents, specifically the one used in Step 7
- Record of Comments
- Final signed directive
- Copyright use permissions
- References

(IT Directive Publication Workflow)

APPENDIX B: IT DIRECTIVE STRUCTURE

CIOP CHAPTER 1351.x.n or NOTICE 1351.2.y

DIRECTIVE TITLE

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Section #.1 Purpose

#.1.1 This section describes the purpose of the directive, including the expected outcome.

#.1.2 If the directive is a change to a previously published directive, this section should include a description of policy changes.

#.1.3 If the directive is a notice, this section shall contain a justification for designating it a notice.

(Table of Contents)—This is a hyperlink to the Table of Contents and shall appear at the end of each Section.

Section #.2 Background

This section provides background information, including a discussion of the issue the policy will resolve.

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Section #.3   Scope and Applicability

#.3.1   This section describes the audience for the directive.

#.3.2   It should also discuss how the directive may apply in various environments such as within the Common Operating Environment (COE), outside the COE but still Government Owned Contracted Operated (GOCO), Government Owned Government Operated (GOGO), Contractor Owned Contractor Operated (COCO), etc.

#.3.3   This section also describes limitations for supplements to the directive.

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Section #.4   Policy

#.4.1   This section contains the policy statements, each listed in a separate, numbered paragraph for easy reference, except where there is only one paragraph. Bullets shall be used strictly for lists, not as a substitute for paragraph numbers.

#.4.2   Policy statements may be grouped under a single paragraph when the policy statements are related.

#.4.3   Use plain language techniques when writing a directive.

#.4.4   All sections are mandatory.

#.4.5   Formatting shall be consistent. Refer to the U.S. Government Printing Office (GPO) Style Manual for general information on correct punctuation, abbreviations, date formats, and many other items.

#.4.5.1   Titles and Section headings are Arial, bold, font size 16 with text beginning at the fifteenth position on the ruler.

#.4.5.2   Body text is left justified with the first line of text beginning at the eighth position on the ruler.

#.4.5.3   The Header and Footer text is Arial, regular, font size 12. The Header shall include the directive number, left justified. The Footer shall include the directive number, left justified, and the page number, right justified.

#.4.5.4   Page margins shall be 1 inch on all sides.

#.4.6   All references shall be hyperlinked to the CIOpedia. When a new reference or a change to an existing reference is necessary, the OPR shall consult with the DOT IT Directives Manager.

#.4.7   All terms and acronyms shall be hyperlinked to the CIOpedia and shall comply with previously published items. When a new item or a change to an existing item is necessary, the OPR shall consult with the DOT IT Directives Manager.

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Section #.5   Roles and Responsibilities

#.5.1   This section shall identify the OPR for the directive.

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Section #.6   Dates

#.6.1   This section lists the effective date for the directive.

#.6.2   It also lists any other important dates associated with the policies.

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Section #.7   Cancellations

This section lists the directives being replaced.

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Section #.8   Compliance

This section states compliance requirements and consequences of not complying with the policies.

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Section #.9   Waivers

#.9.1   This section provides information on how to request an exception to the policies.

#.9.2   This section also provides information on how appeals will be managed.

Section #.10   Audit Procedures

This section contains specific statements about how the policies will be audited for compliance.

Section #.11   Approval

_____   _____

Name   Date
Position Title

APPENDIX C: IT DIRECTIVE RECORD OF COMMENTS

DRAFT IT DIRECTIVE TITLE					
Date					
ID #	Line Number	Commenter	Organization	Comment	Response	Disposition

TABLE 1: RECORD OF COMMENTS

ID #:	Unique number for each comment.
Line Number:	Line number from the draft IT directive to which the comment applies.
Commenter:	Name of the person providing the comment.
OA:	The OA to which the person providing the comment is assigned.
Comment:	The comment provided. Include the comment as provided to the greatest extent possible, especially if it is provided in writing. If it is provided verbally or more generally, detail the comment as best possible.
Response:	State how the comment is being handled, e.g. Policy statement changed to clarify roles and responsibilities.
Disposition:	Specify one of the following: Fully Incorporated, Intent Implemented, Partially Incorporated, or Not Incorporated.