

# CIOP CHAPTER 1

## IT DIRECTIVES MANAGEMENT

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## 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.

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## **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.

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## **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.

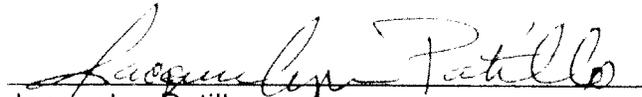
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## **Section 1.10 Audit Procedures**

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

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## Section 1.11 Approval

  
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Jacquelyn Patillo  
DOT Acting Chief Information Officer

Date 5-21-09

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