Section 33.1 Purpose

33.1.1 The Departmental Web-based Interactive Technologies Policy establishes the U.S. Department of Transportation’s (DOT) policy for employee access, employee conduct, account management, acceptable use, approved sites, and other requirements when using Web-based interactive technologies during work hours, including employee work-related online activities, limited personal use of Web-based interactive technologies, and other Web-based interactive technologies.

33.1.2 The Departmental Web-based Interactive Technologies Policy establishes policies and responsibilities for selecting, creating, managing, and maintaining the DOT Web-based interactive technology capabilities such as social media, blogs, and video sharing.
33.1.3 DOT policy regarding the use and management of official DOT Web sites is addressed in the Chief Information Officer Policy (CIOP) Chapter 24, Departmental Web Policy – including Section 508 of the Rehabilitation Act, privacy, security, and other requirements.

(Table of Contents)

Section 33.2 Background

33.2.1 This order is developed in reference to and is consistent with many existing laws and Federal policies that govern DOT information provided via the Web and interactions with the public using Web-based interactive technologies. This order also covers the use of Web-based interactive technologies where DOT employees seek to interact with one another or peers in other Federal agencies. The entire list of references can be found in Appendix D, Legal Authorities and Guidance. The order is issued under authority delegated to the Chief Information Officer (CIO) under DOT Order 1101.16A, the Organization Manual for the Office of the Secretary of Transportation, which assigns responsibility to the CIO for ensuring that DOT’s use of Information Technology (IT) complies with IT external mandates such as Section 508 of the Rehabilitation Act, Office of Management and Budget (OMB) reporting requirements, the Privacy Act, and Records Management rules.

33.2.2 The following definitions apply throughout this Directive:

- **Web-based interactive technologies** – A broad term for the wide spectrum of Web 2.0 and user-driven content technologies that allow individuals to share and edit content and collaborate online and includes such tools as blogs, wikis, social networks, video-sharing, photo-sharing, podcasts, Web feeds, social bookmarking, mashups, widgets, virtual worlds and micro blogs. Often referred to as “social media.”

- **Work Related use of Web-based interactive technologies** – Use of Web-based interactive technologies that is sanctioned as part of an employee’s job function, including: (1) representing DOT online in an employee’s official capacity, when expressly authorized by the respective Operating Administration’s (OA) Office of Public Affairs (or equivalent) or Office of the Secretary of Transportation’s (OST) Office of Public Affairs, to communicate DOT’s views or position (e.g., on a site maintained or monitored by DOT); (2) using Web-based interactive technologies to further an employee’s specific job responsibilities (e.g., internal blogs or wikis for collaboration among agency project teams); or (3) for professional development purposes (e.g., using external sites to engage with other professionals in a community of practice).
Personal Use of Web-based interactive technologies at Work – An employee’s personal use of Web-based interactive technologies during work hours for purposes which are not part of or related to an employee’s official duties whether or not it occurs on government-owned equipment (e.g. providing personal updates to social media sites).

Section 33.3 Scope and Applicability

33.3.1 This order applies to all DOT employees.

33.3.2 This order applies to all Web-based interactive technologies, including social media, whether they are provided via an official “.gov” Web site or by a third-party service provider.

33.3.3 This order applies to work-related use of Web-based interactive technologies and personal use of Web-based interactive technologies at work.

Section 33.4 Policy

33.4.1 Generally, the Department encourages the responsible use of social media by employees in support of DOT’s mission, including enhancing communication and the exchange of information about DOT activities and programs with the public, Federal, State and local partners, and other interested stakeholders. When using social media, employees are bound by the same conduct and ethical rules that apply to offline conduct, including the Standards of Ethical Conduct for Employees of the Executive Branch, 5 CFR Part 2635 and the guidelines for employee conduct when using social media at work, attached herein as Appendix A.

33.4.1.1 DOT employees must follow the guidelines for employee conduct attached herein as Appendix A, as well as all policies contained in the CIOP. Failure to comply with all such directives may result in disciplinary action, up to and including removal from Federal service. Employees have no reasonable expectation of privacy for any communications executed on government-owned equipment, whether the communications are made in one’s official capacity or in one’s personal capacity.

33.4.1.2 Employees are expected to conduct themselves professionally in the workplace and to refrain from using Web-based interactive technologies on DOT-owned equipment for activities that are inappropriate. Behavior must comply with the “DOT Information System Responsibilities and Rules of Behavior for Users, Account Administrators, and System Operators” in accordance with Chapter 2 of the CIOP.
33.4.2 Accounts created on third-party Web-based interactive technologies for purposes of official communications must be approved by the DOT Office of Public Affairs, the DOT Office of General Counsel (OGC), and the designated Terms of Service (TOS) point of contact for each third-party tool. The DOT Office of Public Affairs must maintain a roster of official account owners with access to all official accounts for both DOT and its Operating Administrations.

33.4.2.1 The DOT Office of Public Affairs roster of official account owners must also contain the associated user names and passwords for accounts used for official communication.

33.4.2.2 The roster must be stored and properly secured. If an approved electronic content management system is utilized for storing the roster, access to the roster must be controlled using password and/or other means of encryption. If a hard copy storage method is utilized for storing the roster, access to the roster must be controlled by maintaining the roster in a locked and secure location with limited access.

33.4.3 Accounts created on third-party Web-based interactive technologies (e.g., click-through agreements) for purposes of official communication must be managed in accordance with the principles outlined in DOT Order 1351.15, Identification and Authentication Controls.

33.4.3.1 To the extent feasible, official accounts should be registered to a generic DOT e-mail address. If an account must be registered under an individual employee’s DOT e-mail address, the waiver process outlined in Section 33.9 of this order must be followed.

33.4.3.2 In accordance with DOT Order 1351.15, official account owners must change the password on the third-party Web-based interactive technologies site every 90 days.

33.4.4 Only designated employees working in public engagement and/or public affairs or information technology (IT) support will be considered official account owners and have access to public-facing official Internet-based capabilities.

33.4.4.1 All official statements and/or public remarks that reflect the views of DOT or represent DOT’s position in any way must be authorized as set forth in this policy, comply with applicable requirements, and be in accordance with approved procedures.

33.4.4.2 An official account owner may speak on behalf of DOT only when such commentary is based on governing law and on explicit written standards, policies and practices, and if the official account owner has received express authorization to represent DOT’s views or position as set forth in this policy.

33.4.5 All Web-based interactive technologies in use on DOT equipment and networks must have a designated tool sponsor and be subject to the approval of the Chief Technology Officer (CTO), the Chief Information Security Officer (CISO), and the DOT Order 1351.33.
OGC prior to any and all access or use. A tool sponsor is any individual making the
request to the DOT Technology Control Board (TCB) that a new Web-based interactive
technology be added to the certified list.

33.4.5.1 A CTO-certified list of approved and prohibited Web-based interactive
technologies, and any conditions or restrictions determined, must be established. The
selection of a third-party Web-based interactive technologies application for official use
by the Department is subject to, at a minimum:

33.4.5.1.1 Inclusion of the third-party Web-based interactive technology on the
General Services Administration’s (GSA) social media applications catalog at
www.apps.gov. If a sponsor requests a technology that is not listed in the catalog, the
waiver process, as outlined in Section 33.9 of this order must be followed.

33.4.5.1.2 Existing procurement laws and regulations.

33.4.5.1.3 The DOT Certification, Accreditation, and Security Assessment Policy
(DOT Order 1351.6). If a Federal Risk and Authorization Management Program (Fed
RAMP) joint authorization is available, such information must be provided to the CTO
prior to initiating Certification and Accreditation activities.

33.4.5.1.4 The Departmental Web Policy (DOT Order 1351.24), which provides for
the negotiation of the Terms of Service for a third-party and the accessibility of Web-
based interactive technologies.

33.4.5.2 Access to any Web-based interactive technologies that could increase the
vulnerability or in any way threaten the security of the Department may be restricted or
prohibited.

33.4.6 All DOT Web sites implementing Web-based interactive technology
functionality must comply with the requirements of Section 508 of the Rehabilitation Act
and all applicable provisions of the Departmental Web Policy, DOT Order 1351.24.

33.4.6.1 To ensure equivalent access to resources--not only for individuals with
visual or hearing disabilities but for individuals who prefer not to use interactive
technology to communicate with or obtain information and services from DOT--
equivalent content intended to be official that is posted to a third-party platform must
also be maintained on an official “.gov” site, and visitors to the third-party platform must
be properly directed to the official “.gov” site for official content and an alternative
mechanism to use for sending feedback.

33.4.6.2 If the third-party Web-based interactive technology is used to solicit
feedback, an official DOT e-mail address where users can also send feedback must be
provided on the official “.gov” site. An official DOT telephone number and/or mailing
address may also be provided.

33.4.7 DOT third-party Web-based interactive technologies must follow the
privacy policies outlined in DOT Order 1351.24, including, but not limited to:
33.4.7.1 Complying with requirements to collect the minimum information necessary and to conduct an adapted Privacy Impact Assessment (PIA), as outlined in OMB Memorandum M-10-23, “Guidance for Agency Use of Third-Party Web sites and Applications.” DOT will prepare and maintain a standard PIA for this purpose. Any program that will operate a third-party Web site or application in a manner that creates different privacy implications must prepare a separate, program-specific PIA, and a System of Records Notice, if required by DOT Privacy Policy, as contained in CIOP Chapters 19 and 20, or the Departmental Web Policy – CIOP Chapter 24.

33.4.7.2 Evaluating the third-party Web-based interactive technologies provider’s privacy policy, monitoring the policy for changes, and periodically assessing the risks.

33.4.7.3 Posting a Privacy Notice as required by OMB Memorandum M-10-23 (see template at Appendix C) directly on the third-party site or providing a link to the Privacy Notice if posting the Notice directly on the third-party site is not feasible.

33.4.8 DOT implementations of Web-based interactive technologies must abide by intellectual property requirements.

33.4.8.1 DOT will not embed content and media without verifying the right to post content, especially embedded media. In the case of copyrighted works (e.g., literature, photography, video), DOT will only post the content in the following cases:

33.4.8.1.1 DOT has the copyright in the work.
33.4.8.1.2 DOT has permission to use the work and appropriate attribution is given to the owner, creator, or artist.
33.4.8.1.3 The use of the content owner’s work is permissible under statute.
33.4.8.1.4 The work falls within the fair use exception under the Copyright Right Act. (See 17 U.S.C. § 107).

33.4.9 All official DOT third-party Web-based interactive technology sites must, to the extent practical, display or direct visitors to:

33.4.9.1 An official DOT “.gov” Web site for official information (to the main www.dot.gov page).
33.4.9.2 The Privacy and Intellectual Property (IP) notices, provided in Appendix C.
33.4.9.3 The Citizen Conduct Policy, Appendix B of this order, when Web-based interactive technologies allow for additional citizen conduct requirements (i.e., comment policies, take-down notices, terms of use, etc.), whether hosted on or outside a “.gov” Web site address.

33.4.10 Communications from the public to DOT made through web-based interactive technologies will in no way constitute legal or official notice or comment to DOT, or any official or employee of DOT, for any purpose. Each Web-based interactive
technology site must clearly explain how any communications received from the public will be used by DOT and provide a link to information on how to submit official communications to DOT.

33.4.11 All DOT implementations of Web-based interactive technologies must comply with the Paperwork Reduction Act, the requirements of DOT Order 1351.29 (Paperwork Reduction Act (PRA) and Information Collection Request (ICR)), and the Office of Information and Regulatory Affairs (OIRA) Memorandum, “Social Media, Web-Based Interactive Technologies, and the Paperwork Reduction Act,” as appropriate.

33.4.11.1 Specifically, the provisions of DOT Order 1351.29 apply to uses of Web-based interactive technologies in the following instances:

33.4.11.1.1 For surveys of any kind, including Web polls and satisfaction surveys.

33.4.11.1.2 Any feedback mechanism (e.g., suggestion box, brainstorming, idea generation) that requires respondents to register as a user and collects information about respondents beyond what is necessary for self-identification (i.e., only name and e-mail or mailing address are “necessary”)

33.4.11.1.3 Any activity that goes beyond the scope of an in-person public meeting, including distribution of surveys or asking identical questions of 10 or more attendees.

33.4.11.1.4 Any use of a structured form to collect information, such as posting to a spreadsheet.

33.4.11.1.5 Any collection of information beyond the minimum amount of self-identification required for persons who register as users of Web-based interactive technologies for the purpose of creating accounts or profiles.

33.4.11.1.6 Any collection of information for programmatic purposes (such as form-based applications for grants).

33.4.11.2 The provisions of DOT Order 1351.29 do not apply to uses of Web-based interactive technologies in the following instances:

33.4.11.2.1 Engagements that are the functional equivalents of public meetings (i.e., not surveys), whether hosted on a “.gov” Web site or by a third-party Web-based interactive technology provider.

33.4.11.2.2 General solicitations, such as notices published in the Federal Register or other Web-based interactive technologies, that request public comments on proposed regulations or any general requests for comments “regardless of the form or format thereof” (see 5 CFR 1320.3(h)(4)).

33.4.11.2.3 Unstructured solicitations that give members of the public the option of replying to some or all of the questions in the manner they prefer. A general solicitation may have a degree of specificity, such as a series of specific questions designed to elicit relevant public feedback, but may not be a survey and the responses should be unstructured.
33.4.11.2.4 Opportunities to provide general comments on discussion topics through Web-based interactive technologies (i.e., Web sites, blogs, microblogs, audio-, photo-, or video-sharing Web sites, or online message boards).

33.4.11.2.5 Opportunities to participate in a contest that involves the submission of essays, videos, software, applications, or other such materials so long as no additional information is collected for the contest beyond what is necessary to contact the entrants.

33.4.11.2.6 Subscription services, such as agency updates, alerts, notification lists, or Really Simple Syndication feeds.

33.4.11.2.7 Public interactive meeting tools—including, but not limited to, public conference calls, webinars, blogs, discussion boards, forums, message boards, chat sessions, social networks, and online communities. These tools meet the definition of an in-person public meeting.

33.4.11.2.8 When DOT collects “like items” that are not “information.” These include activities where DOT Web sites may offer users the option to:

33.4.11.2.8.1 Create user accounts or profiles. When doing so, DOT third-party Web sites may collect an e-mail address, username, and password for account registration purposes and optional information such as geographic location (e.g., State or Region for statistical or other purposes).

33.4.11.2.8.2 Provide information on preferences to be used in the customization of or to influence the appearance of any given Web site.

33.4.11.2.8.3 Rate or rank (vote, flag, tag, label, or similarly assess the value of content). Dissemination of such data is subject to Information Quality Act guidelines.

33.4.11.2.8.4 Provide information necessary for the selection, payment, or delivery of an item or to identify a person ordering an item, so long as information is not collected regarding the person’s qualification to participate in such a transaction.

33.4.11.3 Any personally identifiable information collected by or made available to DOT must comply with privacy requirements, as provided in Section 33.4.6, even if it does not trigger the application of the Paperwork Reduction Act and DOT Order 1351.29.

33.4.12 In accordance with DOT Order 1351.28, Records Management, information that meets the definition of a Federal record and is disseminated via any electronic method (i.e., e-mail, electronic bulletin board, social media Web site, blog, or other online system) must be documented in an official DOT recordkeeping system and retained and disposed of, or permanently preserved, in accordance with records schedules that have been approved by the National Archives and Records Administration (NARA). If information that is identified as a Federal record does not have an applicable records schedule, then the content owner must notify the business unit records management staff.
33.4.13 Advertisements and endorsements must be blocked or removed from a third-party page to the maximum extent possible. If advertisements and endorsements cannot be blocked or removed, the waiver process in Section 33.9 must be followed.

(Table of Contents)

Section 33.5 Roles and Responsibilities

33.5.1 The Office of Primary Responsibility (OPR) for this policy is the Office of the Departmental Chief Technology Officer (CTO). The CTO must:

33.5.1.1 Establish a certified list of acceptable and prohibited Web-based interactive technologies through the Technology Control Board (TCB) and make it available to Departmental employees, contractors, and guests.

33.5.1.2 Approve or prohibit the access to and/or use of any Web-based interactive technologies through the TCB.

33.5.1.3 Determine and authorize any conditions or restrictions to access and/or use any Web-based interactive technologies through the TCB.

33.5.1.4 Work with tool sponsors to develop tool-specific guidance documentation for DOT employees along with the OGC and OPA.

33.5.1.5 Participate in the waiver processes outlined in Section 33.9 for advertisements and endorsements and non-GSA approved applications for consideration in the certified list of acceptable and prohibited Web-based interactive technologies.

33.5.1.6 Manage the issuance of annual broadcast messages at the start of the fiscal year and/or employee memoranda reminding employees of the requirements in the CIOP.

33.5.1.7 Ensure that only certified Web-based interactive technologies, as determined by the DOT CTO and TCB, are linked to official Web sites.

33.5.1.8 Ensure that the DOT Linking Policy, as outlined in DOT Order 1351.24, Departmental Web Policy, is followed, including the conspicuous and clear display of the exit disclaimer.

33.5.1.9 Ensure equivalent access to resources, including posting content intended to be official that is posted to a third-party platform on an official “.gov” site.

33.5.1.10 Build and maintain a page containing the privacy notice, IP notice, and citizen conduct policy for third-party Web-based interactive technologies for official purposes.
33.5.2 Secretarial Officers and Heads of OAs must:

33.5.2.1 Require all employees to comply with the Department’s Web-Based Interactive Technologies Policy.

33.5.2.2 Encourage the responsible use of social media by employees in support of DOT’s mission.

33.5.2.3 Assign adequate personnel and resources to satisfy the requirements of this CIOP.

33.5.3 Departmental Chief Information Officer (CIO) must:

33.5.3.1 Provide a Terms of Service Point of Contact for coordination with the Departmental Office of Public Affairs to set up official pages.

33.5.3.2 Delegate responsibility to the CTO for developing a certified list of acceptable and prohibited Web-based interactive technologies through the TCB.

33.5.3.3 Delegate the responsibility to consult account and content owners on the requirements of the Paperwork Reduction Act, as it applies to engagements with the public on behalf of DOT while using Web-based interactive technologies, to the Associate CIO for IT Policy Oversight.

33.5.3.4 Participate in all waiver processes outlined in Section 33.9.

33.5.4 Departmental Chief Information Security Officer (CISO) must:

33.5.4.1 Oversee Certification and Accreditation activities in coordination with the TCB and Cybersecurity and Privacy Council in developing and maintaining the CTO-certified list of approved and prohibited Web-based interactive technologies.

33.5.4.2 Restrict or prohibit the access and/or use of any Web-based interactive technologies tool determined to be a threat to the security of the Department.

33.5.5 DOT Privacy Officer must:

33.5.5.1 Oversee compliance with privacy policies outlined in DOT Order 1351.24.

33.5.5.2 Develop a PIA to comply with requirements as outlined in OMB Memorandum M-10-23, “Guidance for Agency Use of Third-Party Web sites and Applications” for any use of Web-based interactive technologies that deviates from the standard PIA developed by DOT OGC.

33.5.5.3 Develop and maintain, in coordination with DOT OGC, the privacy notice contained in Appendix C of this order.
33.5.6 **Departmental Office of Public Affairs (OPA)** must:

33.5.6.1 Authorize official DOT, OA, or program accounts.

33.5.6.2 Maintain a roster of employees with access to all official DOT and OA accounts.

33.5.6.3 Maintain a roster of official account owners as well as associated user names and passwords. This roster must be stored and properly secured. If an approved electronic content management system is utilized for storing the roster, access to the roster must be controlled using password and/or other means of encryption. If hard copy storage method is utilized for storing the roster, access to the roster must be controlled by maintaining the roster in a locked and secure location, with limited access.

33.5.6.4 Authorize official statements or public remarks that reflect the views of DOT or represent DOT's position in any way, including on social media sites.

33.5.6.5 Develop and make available procedures for authorizing accounts and official statements.

33.5.6.6 Consult with OGC as necessary to ensure that official commentary is based on governing law and on explicit written standards, policies and practices.

33.5.6.7 Ensure that official accounts are maintained only on certified Web-based interactive technologies, as determined by the DOT CTO and TCB.

33.5.6.8 Work with tool sponsors to develop tool-specific guidance documentation for DOT employees along with the OGC and CTO.

33.5.6.9 Develop and maintain, in coordination with DOT OGC, the citizen conduct policy contained in Appendix B of this order.

33.5.6.10 Participate in the waiver processes outlined in Section 33.9 for the inclusion of advertisements and endorsements on Web-based interactive technologies for official purposes.

33.5.7 **Office of the General Counsel (OGC)** must:

33.5.7.1 Conduct Terms of Service reviews in coordination with the TCB and Cybersecurity and Privacy Council, to help in developing and maintaining the CTO-certified list of approved and prohibited Web-based interactive technologies.

33.5.7.2 Provide advice to the TCB on the governing acquisition regulations and procedures (Federal Acquisition Regulation and/or the Transportation Acquisition Regulation, as implemented by DOT Order 4200.18B, Transportation Acquisition Manual) in developing and maintaining the CTO-certified list of approved and prohibited
Web-based interactive technologies.

33.5.7.3 Work with tool sponsors by advising them on compliance with this policy and assisting them in the development of tool-specific guidance documentation for DOT employees, along with the DOT OPA and CTO. Assist OA Chief Counsel Offices providing similar services to OA tool sponsors.

33.5.7.4 Develop and maintain, in coordination with tool sponsors and the DOT Privacy Officer, the PIA that covers standard use of Web-based interactive technologies, in compliance with requirements as outlined in OMB Memorandum M-10-23. Also, advise the DOT Privacy Officer and tool sponsors, working with OA Chief Counsel Offices as appropriate, in the development of tool-specific PIAs that deviate from the standard PIA.

33.5.7.5 Advise official account and content owners when verifying the right to post content, especially embedded media.

33.5.7.6 Develop and maintain, in coordination with the DOT Office of Human Resources, the employee conduct policy contained in Appendix A of this order.

33.5.7.7 Develop and maintain, in coordination with the DOT Privacy Officer, the privacy notice contained in Appendix C of this order.

33.5.7.8 Develop and maintain, in coordination with DOT OPA, the citizen conduct policy contained in Appendix B of this order.

33.5.7.9 Participate in the waiver processes outlined in Section 33.9 for the inclusion of advertisements and endorsements on Web-based interactive technologies for official purposes.

33.5.8 Departmental and OA Ethics Officials must:

33.5.8.1 Periodically include ethical requirements regarding use of Web-based interactive technologies in annual and/or other ethics training.

33.5.9 Departmental Disability Resource Council (DRC) must:

33.5.9.1 Conduct accessibility reviews, in coordination with the TCB, in developing and maintaining the CTO-certified list of approved and prohibited Web-based interactive technologies.

33.5.9.2 Provide guidance to all official account owners implementing DOT Web sites using Web-based interactive technology functionality to ensure compliance with the requirements of Section 508 of the Rehabilitation Act and all applicable provisions of the Departmental Web Policy, DOT Order 1351.24.

33.5.10 Departmental and OA Office of of Human Resources (HR) must:
33.5.10.1 Advise OST and OA supervisors, as needed, about taking disciplinary or other appropriate action in accordance with agency policy for violations of the policies in the CIOP, including Appendix A.

33.5.10.2 Develop and maintain, in coordination with the DOT OGC, the employee conduct policy contained in Appendix A of this order.

33.5.11 **Operating Administration Chief Information Officer (OA CIO)** must:

33.5.11.1 Coordinate with tool sponsors within their OA when sponsors submit requests to the TCB to add technologies to the approved list.

33.5.12 **Operating Administration's Web Manager** must:

33.5.12.1 Ensure that only certified Web-based interactive technologies, as determined by the DOT CTO and TCB, are linked to official Web sites.

33.5.12.2 Ensure that the DOT Linking Policy is followed, including the conspicuous and clear display of the exit disclaimer.

33.5.12.3 Ensure equivalent access to resources, including posting OA content intended to be official that is posted to a third-party platform on an official OA “.gov” site.

33.5.13 **Operating Administration Office of Public Affairs (OA OPA) or equivalent** must:

33.5.13.1 Request authorization for official OA or program accounts from the DOT OPA.

33.5.13.2 Provide DOT’s OPA with accurate and thorough information to include in its roster of personnel with access to all official DOT and OA accounts.

33.5.13.3 Work with DOT’s OPA to authorize official statements or public remarks that reflect the views of DOT or represent DOT’s position in any way, including on social media sites.

33.5.13.4 Consult with OA OCC as necessary to ensure that OA or program office official commentary is based on governing law and explicit written standards, policies and practices.

33.5.13.5 Ensure that the content posters have received express authorization by DOT’s OPA to represent DOT’s views or position.

33.5.13.6 Ensure that official accounts in OA are maintained only on certified Web-based interactive technologies, as determined by the DOT CTO and TCB.

33.5.14 **Operating Administration Office of Chief Counsel (OA OCC)** must:
33.5.14.1 Advise OA tool sponsors on the development of PIAs to comply with requirements as outlined in OMB Memorandum M-10-23.

33.5.14.2 Advise OA official account and content owners when verifying the right to post content, especially embedded media.

33.5.14.3 Work with tool sponsors by advising them on compliance with this policy and assisting them in the development of tool-specific guidance documentation for DOT employees, consulting with OGC as appropriate.

33.5.15 Operating Administration Records Management Officers, and/or their designees must:

33.5.15.1 Assist account and content owners if information provided on a Web-based interactive technology that is identified as a Federal record does not have an applicable records schedule.

33.5.16 Tool sponsors must:

33.5.16.1 Sponsor and develop a business case for a specific Web-based interactive technology, not contained within the certified list, to present to the TCB.

33.5.16.2 Coordinate with their OA CIO to submit the request to the TCB.

33.5.16.3 Coordinate the development of tool-specific guidance for DOT employees with the CTO, OGC and DOT OPA.

33.5.16.4 Prepare a separate PIA (and a System of Records Notice, if required) if the operation of the third-party Web site is in variance with the standard PIA developed under OMB Memorandum M-10-23.

33.5.16.5 Evaluate the third-party Web-based interactive technologies provider’s privacy policy for risks, monitoring the policy for changes, and periodically reassessing the risks.

33.5.17 Official Account Owners and Content Owners must:

33.5.17.1 Ensure that all official content meets applicable requirements outlined in this policy.

33.5.17.2 Manage official accounts in accordance with the principles outlined in DOT Order 1351.15, Identification and Authentication Controls.

33.5.17.2.1 Register official accounts under a generic e-mail address. If an official account must be registered under an individual employee’s DOT e-mail address, the content owner must follow the waiver process outlined in Section 33.9 of this order.

33.5.17.2.2 Change the password on the third-party Web-based interactive technology
site every 90 days for official accounts.

33.5.17.3 Ensure any official commentary is based on governing law or explicit written standards, policies and practices, and that the employee has received express authorization by DOT’s OPA to represent DOT’s views or position.

33.5.17.4 Ensure visitors to the third-party platform are properly directed to an official “.gov” site for official content.

33.5.17.5 Provide an official DOT e-mail address where users can also send feedback if the third-party Web-based interactive technology is used to solicit feedback.

33.5.17.6 Ensure that embedded content, whether embedded by the content owner or other participants, includes appropriate attribution to the owner, creator, or artist.

33.5.17.7 Ensure that they have the right to post content, especially embedded media, as specified by this policy.

33.5.17.8 Either display on official DOT third-party sites or direct visitors through a link to an official DOT “.gov” Web site for official information and the Privacy and IP notices, provided in Appendix C, to the extent practical.

33.5.17.9 Either display on official DOT third-party sites or direct visitors through a link to the Citizen Conduct Policy in Appendix B of this order, when Web-based interactive technologies allow for additional citizen conduct requirements (i.e., comment policies, take-down notices, terms of use, etc.) whether hosted on or outside a “.gov” Web site.

33.5.17.10 Clearly explain on the site how any communications received from the public will be used by DOT and provide a link to information on how to submit official communications to DOT.

33.5.17.11 Ensure the requirements of the Paperwork Reduction Act are adhered to, as specified in this policy, for all engagements with the public on behalf of DOT while using Web-based interactive technologies. Specifically:

33.5.17.11.1 Limit the use of votes and ranking information on Web-based interactive technologies to organizing, ranking, or sorting.

33.5.17.11.2 Not assume, in general, that the results of votes and ranking information on Web-based interactive technologies are statistically reliable indicators of public sentiment and, thus, not use such information as an appropriate basis for policy or planning.

33.5.17.12 Determine, in coordination with business unit records management officers, whether information on official Web-based interactive technologies that they manage, are Federal records.
33.5.17.12.1 Manage information on official Web-based interactive technologies in accordance with appropriate DOT records schedules approved by the National Archives and Records Administration (NARA) or the General Records Schedule issued by NARA.

33.5.17.13 Ensure advertisements and endorsements are removed from Web-based interactive technologies they manage. If they cannot be, owners must follow the waiver process outlined in Section 33.9.

33.5.17.13.1 Regularly monitor official pages to ensure that advertising appearing on the page does not imply DOT endorsement of a product or service and/or negatively impact the agency message being conveyed on the page.

33.5.18 Managers and Supervisors must:

33.5.18.1 Ensure that employees are aware of their responsibilities pertaining to this policy, including the Employee Conduct Guidelines contained in Appendix A.

33.5.18.2 Take prompt disciplinary or other appropriate action in accordance with agency policy and in consultation with their Human Resources Offices for violations of the policies in the CIOP, including Appendix A.

33.5.19 All DOT employees using social media must:

33.5.19.1 Exercise reasonable judgment in interpreting this policy and in making decisions about the use of Web-based interactive technologies.

33.5.19.2 Review and be familiar with all related policies that cover the use of Web-based interactive technologies, including the Standards of Ethical Conduct for Employees of the Executive Branch, 5 CFR Part 2635, and the Employee Conduct Guidelines in Appendix A.

33.5.19.3 Conduct themselves professionally in the workplace and refrain from using Web-based interactive technologies on DOT owned equipment for activities that are inappropriate, as detailed in this policy.

33.5.19.4 Not operate an official DOT or OA account without the authorization of DOT’s OPA.

33.5.19.5 Ensure that only certified Web-based interactive technologies are used, as determined by the DOT CTO and TCB.

33.5.19.6 Be mindful of the unique considerations that arise when engaging in online communications, including that such communications remain permanently available and open to being re-published in other media and are subject to libel, defamation, copyright and data protection laws.

33.5.19.7 Be mindful that they have no reasonable expectation of privacy for any communications executed on government-owned equipment, whether the
communications are made in one’s official capacity or in one’s personal capacity.

33.5.20  **Technology Control Board (TCB)** must:

33.5.20.1 Develop and maintain the CTO-certified list of approved and prohibited Web-based interactive technologies, in coordination with the DOT OGC, CISO and OA CIOs.

33.5.21  **Cybersecurity and Privacy Council** must:

33.5.21.1 Coordinate with the TCB on Certification and Accreditation activities in developing and maintaining the CTO-certified list of approved and prohibited Web-based interactive technologies.

33.5.21.2 Consult the CISO in restricting or prohibiting the access and/or use of any Web-based interactive technologies tool they determine to be a threat to the security of the Department.

(Table of Contents)

**Section 33.6 Dates**

33.6.1 This policy is effective on the date signed, except:

33.6.1.1 The provisions pertaining to the CTO-certified list of approved and prohibited Web-based interactive technologies will be effective 6 months after the effective date.

(Table of Contents)

**Section 33.7 Cancellations**

33.7.1 This policy does not cancel any other DOT orders or notices.

(Table of Contents)

**Section 33.8 Compliance**

33.8.1 Failure to comply with this policy may result in disciplinary action, including removal from Federal Service.

33.8.2 Within six months of the effective date of the policy, Operating Administrations, including OST, shall develop employee training that addresses the benefits and uses of Web-based Interactive technologies. The OAs may collaborate on such training.

(Table of Contents)
Section 33.9 Waivers

33.9.1 When a third-party Web-based interactive technology requires that an account be registered to an individual DOT employee's official e-mail address, a waiver must be approved and filed by the DOT Chief Information Officer. The waiver must include:

33.9.1.1 Written documentation that the Web-based interactive technology tool's Terms of Service will not permit accounts to be registered to a general e-mail address, citing the appropriate sections.

33.9.1.2 A discussion of the controls that will be put in place to ensure that, in the event of staff absence or turnover, the office sponsoring the account will be able to retain access to the account and accomplish its mission.

33.9.2 When a third-party social media tool is requested and does not have a negotiated Terms of Service in the GSA Web-based interactive technologies catalog, a waiver must be completed to initiate review activities and placed on file with the Departmental OCIO. The waiver must include:

33.9.2.1 An overview of the required Web-based interactive technology's functionality.

33.9.2.2 A functional review of the items currently registered in the GSA social Web-based interactive technologies catalog, identifying fit/gap analysis for tools already registered in the catalog.

33.9.2.3 A discussion of the unfulfilled functional requirements and the market research that has been performed for alternative tools not available from the GSA Web-based interactive technologies catalog.

33.9.2.4 A functional review of the alternatives considered, identifying a fit/gap analysis for these alternatives and the preferred solution.

33.9.2.5 A discussion of any known attempts by other DOT or Federal organizations to negotiate with the vendor of the preferred solution, and any known barriers to negotiating appropriate terms of service.

33.9.3 For any official use of Web-based interactive technology where advertisements will be present on the page, a waiver must be approved by the DOT OPA and OGC prior to use, and placed on file with the Departmental OCIO. The waiver must include:

33.9.3.1 An overview of the required Web-based interactive technology's functionality.
33.9.3.2 A description of the type and frequency of advertisements and endorsements.

(Table of Contents)

Section 33.10 Audit Procedures

33.10.1 DOT OCIO must:

33.10.1.1 Audit the register maintained by DOT OPA on an annual basis to ensure official accounts are registered to a generic DOT e-mail address. If accounts are not registered, ensure that waivers are on file.

33.10.1.2 Compare the DOT certified Web-based interactive technologies list to the GSA's apps.gov site, to ensure that all DOT approved technologies remain approved by GSA.

33.10.1.3 Review on an annual basis all official presences on third-party Web-based interactive technology sites to ensure that, to the extent feasible, the privacy notice, IP notice, and citizen conduct policy are posted or linked.

33.10.1.4 Periodically review use of Web-based interactive technologies to ensure that its use does not constitute an information collection. If so, the account owner must display the OMB control number authorizing that collection.

33.10.2 The DOT OPA must:

33.10.2.1 Audit the register they maintain of account user names and passwords on no less than an annual basis to ensure passwords have been changed according to this policy.

(Table of Contents)
Section 33.11 Approval

Nitin Pradhan
Chief Information Officer

(Table of Contents)

Nov 23, 2010
Date
APPENDIX A: Employee Conduct Policy

I. Purpose: This Appendix establishes the Department of Transportation’s (DOT) policy for employee conduct when using Web-based Interactive Technologies at work, including employees’ work-related online activities, as well as limited personal use of Web-based interactive technologies during work hours, whether or not using government property.

II. References:

1. Departmental Web-based Interactive Technologies Policy (Social Media and Web 2.0) (CIOP).
2. Standards of Ethical Conduct for Employees of the Executive Branch, 5 CFR Part 2635.

III. General Policy:

The Department encourages the responsible use of Web-based interactive technologies by employees in support of DOT’s mission, including enhancing communication and the exchange of information about DOT activities and programs with the public, Federal, State and local partners, and other interested stakeholders. When using Web-based interactive technologies, employees are bound by the same conduct and ethical rules that apply to offline conduct, including the Standards of Ethical Conduct for Employees of the Executive Branch, 5 CFR Part 2635.

IV. Scope: This Appendix applies to all DOT employees.

V. User Responsibilities: It is the responsibility of any person subject to this Appendix who uses Web-based interactive technologies to read, understand, and follow this policy. Employees are expected to exercise reasonable judgment in interpreting this policy and in making decisions about the use of Web-based interactive technologies. Employees should be mindful of the unique considerations that arise when engaging in online communications, including that such communications remain permanently available and open to being re-published in other media and are subject to libel, defamation, copyright and data protection laws. In addition, employees should be mindful that they have no reasonable expectation of privacy for any communications executed on government owned equipment, whether the communications are made in one’s official capacity or in one’s personal capacity.

Each Operating Administration (OA) and the Office of the Secretary (OST) are responsible for ensuring that employees are trained in the benefits and uses of Web-based interactive technologies. Any person with questions regarding the application or
meaning of this Appendix should seek clarification from the OST Office of the Chief Information Officer (CIO), OA or the Department’s Office of Human Resources, or OA or OST Counsel Offices. Failure to comply with the policies contained in this Appendix may result in disciplinary action, up to and including removal from Federal service.

VI. Definitions:

- **Web-based interactive technologies**: A broad term for the wide spectrum of Web 2.0 and user-driven content technologies that allow individuals to share and edit content and collaborate online and includes such tools as blogs, wikis, social networks, video-sharing, photo-sharing, podcasts, Web feeds, social bookmarking, mashups, widgets, virtual worlds and micro blogs. Often referred to as “social media.”

- **Work Related use of Web-based interactive technologies**: Use of Web-based interactive technologies that is sanctioned as part of an employee’s job function, including: (1) representing DOT online in an employee’s official capacity, when expressly authorized by the respective OA’s Office of Public Affairs (or equivalent) or OST Office of Public Affairs, to communicate DOT’s views or position (e.g., on a site maintained or monitored by DOT); (2) using Web-based interactive technologies to further an employee’s specific job responsibilities (e.g., internal blogs or wikis for collaboration among agency project teams); or (3) for professional development purposes (e.g., using external sites to engage with other professionals in a community of practice).

- **Personal Use of Web-based interactive technologies at Work**: An employee’s personal use of Web-based interactive technologies during work hours for purposes which are not part of or related to an employee’s official duties, whether or not it occurs on government-owned equipment (e.g., providing personal updates to Web-based interactive technologies sites).

VII. Basic Principles for Employee use of Web-based Interactive Technologies

1. When representing DOT, or otherwise engaging in work-related use of Web-based interactive technologies, act with the highest level of professionalism and integrity and in accordance with the Standards of Ethical Conduct for Employees of the Executive Branch, as well as privacy and confidentiality policies, harassment and discrimination policies, conflict of interest statutes, the Hatch Act and other applicable laws and regulations.

2. Strive for transparency and openness in all communications, while protecting privacy interests, personally identifying information, and privileged or other information inappropriate for public release.

3. Use Web-based interactive technologies in a collaborative fashion to engage the public and other stakeholders in discussion and the exchange of information; limit participation to facts or authorized statements of DOT Policy (see Section VIII(1)) and ensure accuracy.
4. Identify supporting sources (include links when possible) and include a disclaimer if necessary to clarify that no endorsement is intended.

5. Identify yourself and your DOT affiliation if participating in a work-related capacity and do not make commitments or engage in activity on behalf of DOT unless expressly authorized. Use of an alias when participating in work-related Web-based interactive technologies is not encouraged. Aliases are not the same as handles or usernames, which may be permitted by some sites. Never fraudently represent your identity online.

6. Do not use discriminatory language, ethnic slurs, personal insults, obscenity or engage in any conduct that would not be acceptable in the workplace.

7. Exercise sound judgment to ensure a distinct separation between personal views and the views of DOT and include a disclaimer if necessary to clarify that your personal views are not necessarily the views of DOT.

8. Follow the Departmental Web-based Interactive Technologies Policy contained in the CIOP.

VIII. Work Related Use of Web-based Interactive Technologies:
When using Web-based interactive technologies as part of an employee’s job function, the following requirements apply:

1. All official statements or public remarks that reflect the views of DOT or represent DOT’s position in any way must be expressly authorized by OA or OST Office of Public Affairs (or equivalent) and must comply with applicable requirements.

2. An employee’s participation in Web-based interactive technology activity in any other work-related capacity must be related to and consistent with the employee’s assigned duties at DOT.

3. Employees should ensure that online activities do not interfere with other aspects of their jobs.

IX. Personal Use of Web-based Interactive Technologies at Work:
DOT allows for limited personal use of Web-based interactive technology sites by employees while on breaks or during lunch (e.g., minimal, incidental use to occasionally check personal e-mail or to log onto Facebook during lunch break), subject to management discretion and the following requirements:

1. An employee’s personal use and comments made at Web-based interactive technology sites may be constitutionally protected. However, any personal use of Web-based interactive technologies while at work must be in compliance with all relevant DOT policies, including, but not limited to, the Standards of Ethical Conduct for Employees of the Executive Branch, privacy and confidentiality
policies, harassment and discrimination policies, conflict of interest statutes, the Hatch Act, and other applicable laws and regulations.

2. Personal use of Web-based interactive technologies at work must be conducted in such a manner that a reader would not think that the employee is speaking for or on behalf of DOT. If an employee’s personal views on a subject of official concern is likely to be attributed as DOT’s official position, the employee should include a disclaimer that the views expressed are the employee’s own views and not necessarily those of DOT.

3. When using government-owned property and while at work, employees should be mindful of their responsibility to use official time in an honest effort to perform official duties. Excessive and/or inappropriate use of Web-based interactive technologies for personal purposes during work hours may result in disciplinary action, up to and including removal from Federal service.

X. **Personal Use of Web-based Interactive Technologies outside of Work:** An employee’s personal use of and comments made at Web-based interactive technology sites may be constitutionally protected. However, employees are reminded that when they are off-duty and/or not using government owned equipment, they are still bound by the Standards of Ethical Conduct for Employees of the Executive Branch. For example, employees should not misuse their DOT positions (e.g., use their government position for private gain or to imply endorsement of organizations, products or services) nor engage in partisan political fundraising. Employees should exercise sound judgment and ensure a distinct separation between their personal use of Web-based interactive technologies and their job responsibilities. If an employee’s personal views on a subject of official concern is likely to be attributed as DOT’s official position, the employee should include a disclaimer that the views expressed are the employee’s own views and not necessarily those of DOT.

XI. **Employee Conduct and Use of Web-based Interactive Technologies —At a Glance**

The Departmental Web-based Interactive Technologies Policy establishes DOT’s policy for employee conduct when using Web-based interactive technologies at work, whether activities are work-related or personal in nature.

DOT encourages the responsible use of Web-based interactive technologies by employees in support of DOT’s mission, including enhancing communication and exchanging information about DOT activities and programs with the public.

Your participation in Web-based interactive technologies in any other work-related capacity must be related to and consistent with your work duties. You may only speak
on behalf of DOT if you have received express authorization to represent DOT’s views or position. When speaking on behalf of DOT, identify yourself and your DOT affiliation.

Make sure that all official statements or public remarks that represent DOT’s position in any way are authorized by OA or OST Office of Public Affairs (or equivalent) and comply with applicable requirements.

Be careful that you do not appear to speak on behalf of DOT without authorization. If your personal views on a subject of official concern are likely to be attributed as DOT’s official position, you should include a disclaimer that says: “The views expressed here are my own and not necessarily those of DOT.”

When using Web-based interactive technologies, remember that you are bound by the same conduct and ethical rules that apply to offline conduct, including the Standards of Ethical Conduct for Employees of the Executive Branch, 5 CFR Part 2635. Remember that your use of Web-based interactive technologies while at work must be in compliance with all relevant DOT policies, including, but not limited to, privacy and confidentiality policies, harassment and discrimination policies, conflict of interest statutes, the Hatch Act, and other applicable laws and regulations. Be sure to read through and familiarize yourself with these policies.

You should limit your personal use of Web-based interactive technologies at work. For example, you may occasionally check personal e-mail or log onto Facebook during a break. These activities are subject to your manager’s approval and several requirements detailed in this policy.

Make sure that your online activities do not interfere with other aspects of your job. When using government property and while at work, you should be mindful of your responsibility to perform official duties. Excessive and/or inappropriate personal use of Web-based interactive technologies during work hours may result in disciplinary action, up to and including removal from Federal service.

Your personal use of Web-based interactive technologies may be constitutionally protected. However, if your personal views on a subject of official concern are likely to be attributed to DOT, then you should include a disclaimer that the views expressed are your own and not necessarily those of DOT.
APPENDIX B: Citizen Conduct Policy

This policy is STANDARD LANGUAGE that must be posted, to the extent feasible, to interactive “.gov” sites or third-party sites on which DOT maintains an official presence, with respect to section 33.4.9.3 of this order. This policy is outward facing, and covers the general public’s conduct on our interactive sites. These policies are also commonly known as “comment policies” or “takedown notices”. This policy is applicable to comments from members of the public, on interactive “.gov” sites and on third-party sites on which DOT maintains an official presence.

DOT encourages the submission of comments on transportation-related issues from the public and hopes that interested individuals will submit thoughts and reactions on a regular basis. DOT also hopes that commenters will bring to our attention projects and ideas that will help us ensure that our nation has the transportation system it needs and deserves.

DOT welcomes your comments, ideas, and concerns. But, we expect conversations to follow the conventions of civil discourse. Therefore, please take the time to read this comment policy.

This page is moderated, and DOT will review all comments.

[FOR BLOGS] This is a moderated blog, and DOT will review all comments before posting them. DOT will make best efforts to review comments and post them as quickly as possible. DOT will only accept comments from bloggers 13 years or older in accordance with the Children’s Online Privacy Protection Act (COPPA). If you are 12 years old or younger, you may e-mail us rather than posting a comment on this site.

DOT will not post comments and will take down comments that:

- Contain vulgar or abusive language, personal attacks of any kind, offensive terms that target specific ethnic or racial groups, or discriminatory language based on race, sex, gender, religion, national origin, age or disability
- Promote or endorse services or products
- Are off-topic- e.g., comments that do not pertain to the topic of the blog post
- Contain security sensitive information
- Contain gratuitous links to Web sites that are viewed as spam

DOT does not discriminate against any views, but reserves the right to remove comments that do not adhere to these standards. All posted comments reflect the
views of the author and do not necessarily reflect the views or position of DOT or the Federal government.

DOT will not redact or edit a comment to remove objectionable content, so please ensure that your comment contains none of the above.

Communications made through the blog will in no way constitute legal or official notice or comment to the DOT or any official or employee of DOT for any purpose. (For example, comments on a DOT Notice of Proposed Rulemaking (NPRM) must be submitted as directed in the NPRM, not through this blog.) Nor is this blog a place to file a claim, complaint, or any other form of legal or administrative notice.

When posted, the content of all comments and the commenter’s identifier (valid e-mail address or an alias, if the tool provides the option to be identified by an alias) are released into the public domain, so do not submit anything you do not wish to be broadcast to the general public. To protect your own privacy and the privacy of others, please do not include personal contact information or other personally identifiable information in the body of your comment.

Remember that, as an alternative to using this public blog mechanism to communicate with DOT, you may visit the following official DOT Web site and use the e-mail address, telephone number, and/or mailing address provided there to send communications to DOT: [insert URL for an official DOT .gov site].

Please refer to DOT's Privacy Notice for information about how any personally identifiable information that is collected about you when you visit this site, or that you choose to provide when you interact with this site, may be used.
APPENDIX C: Intellectual Property and Privacy Notices

These notices are STANDARD LANGUAGE that is intended to be posted to interactive .gov sites or third-party sites on which DOT maintains an official presence with respect to section 33.4.9.2 of this order. The contents are to be adapted for use with each third-party Web site or application used by DOT. The notice must be posted on each such Web site or application and should, to the extent feasible, be conspicuous, salient, clearly labeled, written in plain language, and prominently displayed at all locations where the public might make information, including PII, available to DOT. If not feasible to post directly on the third-party Web site or application, the notice must be linked to from the site or application.

Intellectual Property Notice

Except where otherwise noted, content on this site is licensed under a Creative Commons Attribution 3.0 License. Content includes all materials posted by the Department of Transportation and its Operating Administrations. In addition, visitors to this Website agree to grant a non-exclusive, irrevocable, royalty-free license to the rest of the world for their submissions to this site under the Creative Commons Attribution 3.0 License. A copy of this license is available online at http://creativecommons.org/licenses.

Members of the public should honor intellectual property laws and post only content they have the right to post.

The contents of the following Privacy Notice comply with OMB Memorandum M-10-23, “Guidance for Agency Use of Third-Party Web sites and Applications” (see section 4.c.).

DOT Privacy Notice

[Insert name of Web site or application] is not a government Website or application; it is controlled or operated by a third-party, not by the U.S. Department of Transportation (DOT). DOT’s Privacy Policy does not apply to the third-party.

If you use this Web site or application to communicate with DOT, you may be providing non-government third parties with access to personally identifiable information (PII) about you.

Any PII about you that becomes available through your use of this third-party Web site or application will not be maintained, used, or shared by DOT, except as described in the following Privacy Impact Assessment:
As an alternative to using this third-party Web site or application, you may obtain comparable information and services from DOT by visiting this official DOT Web site:

[Insert URL]

DOT's Privacy Policy applies to, and is accessible from, the above DOT Web site.
APPENDIX D: Legal Authorities and Guidance

This order is developed in reference to many existing laws and Federal policies and is issued under authority delegated to the Chief Information Officer (CIO) for issuance of Departmental Information Technology policies pursuant to 49 CFR Part 1 and DOT Order 1101.16A. The following DOT policies apply:

- DOT Order 1000.14A – Official Seal and Signatures of the Department of Transportation
- DOT Order 1351.2 – Access Controls
- DOT Order 1351.6 – Certification, Accreditation, and Security Assessments
- DOT Order 1351.15 – Identification and Authentication Controls
- DOT Order 1351.20 – U.S. Department of Transportation Rules of Conduct and Consequences Policy Relative to Safeguarding Personally Identifiable Information
- DOT Order 1351.24 – Departmental Web Policy
- DOT Order 1351.28 – Records Management
- DOT Order 1351.29 – Paperwork Reduction Act (PRA) and Information Collection Request (ICR)
- DOT Order 4200.18B – Transportation Acquisition Manual

In addition, the following statutes and Executive Orders apply:

- 5 USC §301, which provides that the head of an Executive Agency or Military Department may prescribe regulations for the use of its property
- 5 CFR Part 2635 – Standards of Ethical Conduct for Employees of the Executive Branch
- Executive Order 12674 – Principles of Ethical Conduct for Government Officers and Employees.

In addition, the following Office of Management and Budget (OMB) and Office of Information and Regulatory Affairs (OIRA) Memorandum apply: