Department of Energy
Washington, DC 20585

MEMORANDUM FOR INGRID KOLB
  DIRECTOR, OFFICE OF MANAGEMENT

THROUGH: KEVIN T. HAGERTY
  DIRECTOR, OFFICE OF INFORMATION RESOURCES

FROM: ROBERT F. BRESE
  CHIEF INFORMATION OFFICER

SUBJECT: Notice of Intent to Revise DOE O 200.1A, *Information Technology Management*

PURPOSE: In December 2011, a Justification Memorandum was submitted to the Directives Review Board to revise DOE Order 200.1A, *Information Technology Management*; however, the request was withdrawn in June 2012, pending senior management's approval of a revised IT governance framework. The Deputy Secretary agreed to a revised framework in July 2013 as part of DOE's PortfolioStat review with the Office of Management and Budget (OMB).

JUSTIFICATION: IT plays a key role in advancing the mission of the Department of Energy (DOE). The Department continues to analyze their portfolio and identify ways to reduce duplication, increase effectiveness, and spend Federal IT dollars more efficiently. However, the complex relationships among the Department's missions, business processes, and the information systems supporting those missions/processes require better integration of mission and business leaders into the strategic IT governance decision making process.

There have been significant changes in IT governance and management processes since the existing Order was revised in December 2008. This revised Order is needed to clarify the roles and responsibilities, policies, and procedures for effectively managing IT investments to ensure mission success.

Since the May 2011 publication of DOE Order 205.1B, *Department of Energy Cyber Security Program*, DOE Order 200.1A has been in conflict with the governance processes established in that directive. The Information Management Governance Council (IMGC), created in December 2009 and described in DOE Order 205.1B, has served its original purpose in ensuring cybersecurity and IT management are mission-focused. The IMGC has not met since February 2013. Upon completing the Order 200.1A update, the Office of the Chief Information Officer (OCIO) will also submit a request to the Directives Review Board to update DOE Order 205.1B to reflect recent cyber security and IT management governance changes.

Recd 11-7-2013 /CBeber

This revised Order will describe a new senior executive-level governance body established by the Deputy Secretary as the senior most governance body for information management issues within the Department and entitled the Information Management Requirements & Resources Review Board (IMR³B).

The IMR³B will be comprised of Program Office and Power Marketing Administration Chief Operating Officers, CxOs, and Staff Office Directors who will create a collaborative, corporate decision forum for information management policy and investment decisions. The board will define strategic and business needs for the Department and will make informed IT investment decisions, based on IT portfolio recommendations provided by the IT Council.

There are no valid external, consensus or other standards available which can be used in place of this directive.

IMPACT: The implementation of this Order will improve the Department's IT governance framework establishing line-of-sight between IT projects, business/mission owners, managers and senior executives responsible for strategic direction/planning, oversight, management, and day-to-day operations. This will further enable the Department to:

- significantly enhance its view and management of risks associated with IT investments/performance;
- improve the efficiency and strengthen effectiveness of IT management across the Department; and
- identify new business requirements, current inefficiencies, and opportunities to cut costs, resulting in increased IT cost savings.

This ~~proposed~~ revision will not impose any new requirements to DOE Elements or its contractors beyond the resources required to staff the meetings of the new governance group. Rather, the revision will document governance groups and processes that have already been established to ensure appropriate governance and oversight of IT processes within the Department. The proposed directive does not duplicate existing laws, regulations or national standards and it does not create undue burden on the Department. No additional requirements are anticipated.

The OCIO will circulate the draft revision widely throughout the DOE IT community for review and comment to ensure that existing IT governance groups support the proposed revision and that there is general agreement across the Department on the proposed changes.

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OPI/OPI CONTACT: Peter Lenentine, Office of the CIO, (202) 586-2046

Concur: _____ Nonconcur: _____ Date: 11-21-13

Approval is granted w/ the following caveats: ① The CIO will provide documentation on the Deputy's decision on the new governance model; ② in developing the order the greater flexibility should be provided to the programs on membership of the Council, especially to ensure compliance w/ the NNSA Act. Also, the CIO will include the labs in the development process.

Unless determined otherwise by the Directives Review Board (DRB), writers will have up to 60 days in which to develop their first draft and submit to the Office of Information Resources, MA-90

Standard Schedule for Directives Development	Days
Draft Development	Up to 60 days
Review and Comment (RevCom)	30
Comment Resolution	30
Final Review	30
Total	150

(NOTE: The standard schedule of up to 150 days will be used unless otherwise specified by the Directives Review Board.)

Risk Identification and Assessment

Subsystem Title or Section within Subsystem

Risk	Probability	Impact	Risk Level
People			
1. N/A			
Mission			
2. Risk of failure to identify underperforming/duplicative IT investments	likely	medium	significant
3. Opportunity to redefine and clarify the relationships, roles, and responsibilities of key governance groups in DOE's IT decision-making process to match changes in IT management at DOE	likely	medium	significant
Assets			
4. Opportunity to inform leadership decisions as it relates to leveraging resources for consistent and effective management and governance of DOE's IT resources	certain	high	extreme
Financial			
5. N/A	N/A	N/A	N/A
Customer and Public Trust			
6. Risk of weakening customer/public trust and confidence in DOE's IT environment	possible	high	extreme

Gap Analysis of Existing Risks and Controls

Laws	- Clinger-Cohen Act of 1996 - E-Government Act of 2002 - Government and Performance Results Modernization Act of 2010 - Government Paperwork Elimination Act - Section 508 of the Rehabilitation Act - Federal Information Security Management Act of 2002
External Guidance	- Office of Management and Budget (OMB) Circular A-11 Section 55, Information Technology Investments - OMB Circular A-130, Management of Federal Information Resources - OMB's Digital Government Strategy and Open Data Initiative - OMB Memo (M-03-14), Reducing Cost and Improving Quality in Federal Purchases of Commercial Software - OMB Memorandum M-05-04, Policies for Federal Agency Public Websites
DOE Regulation	None
DOE Orders	- DOE O 203, Limited Personal Use of Government Office Equipment Including Information Technology - DOE O 205, Department of Energy Cybersecurity Program - DOE O 414, Quality Assurance - DOE Order 415, DOE IT Program/Project Management - DOE Order 243.1B, Records Management Program
Contract Controls	None
External Assessments	None

Risk Mitigation Techniques

Risk Assessment for DOE Order 200.1B, IT Governance and Management					
Risk/Opportunity	Risk Level	Potential Cost/Benefit	External Control(s)	Proposed Mitigation Technique	Internal Control (if needed)
Risk of failure to identify underperforming/duplicative IT investments	significant	Intangible—improved collaboration in IT decision-making across DOE, leading to potential performance improvements and cost saving opportunities	NA	Monitoring	Streamline and coordinate Departmental governance groups, with senior-level involvement, to drive decision-making and define strategy
Opportunity to redefine and clarify the relationships, roles, and responsibilities of key governance groups in DOE's IT decision-making process to match changes in IT management at DOE	significant	Intangible—improved clarity in roles/responsibilities in decision-making	OMB M-09-02, *Information Technology management Structure and Governance Framework*, 10-21-08	Monitoring	Improve communications and collaboration among Departmental governance groups with defined charters to ensure appropriate roles and responsibilities are clearly documented
Opportunity to inform leadership decisions as it relates to leveraging resources for consistent and effective management and governance of DOE's IT resources	extreme	Increased Senior Executive level insight to drive strategic IT decisions	PL 104-106, *Clinger-Cohen Act*; OMB-M-13-09, *Fiscal Year2013 PortfolioStat Guidance: Strengthening Federal IT Portfolio Management*, 3-27-2013	Monitoring	Streamline and coordinate Departmental governance groups, with senior-level involvement, to drive decision-making and define strategy

| Risk of weakening customer/public trust and confidence in DOE's IT environment | **extreme** | Cost of remediation of DOE environment due to an event | NA | Mitigation | Streamline and coordinate Departmental governance groups, with senior-level involvement, to drive decision-making and define strategy |