

# EPA INFORMATION PROCEDURES

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*Issued by the EPA Chief Information Officer,  
Pursuant to Delegation 1-19, dated 07/07/2005*

## **REVIEWING AND UPDATING AGENCYWIDE DIRECTIVES ADMINISTERED BY THE EPA CIO**

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### **1. PURPOSE**

The Procedure establishes a systematic process for the timely and comprehensive review and update of Agencywide Directives administered by the EPA Chief Information Officer (CIO).

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### **2. SCOPE AND APPLICABILITY**

The scope of this Procedure includes all Agencywide Directives administered by the CIO. This includes all documents referred to as CIO policies, procedures, standards, and guidance (i.e., "CIO Directives").

This Procedure applies to all EPA employees, contractors, and other users who may be in the position to author and lead the review of CIO Directives.

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### **3. AUDIENCE**

The audience for this Procedure is all Agency employees, contractors and other users responsible for developing, maintaining and reviewing Agencywide Directives administered by the EPA CIO.

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### **4. BACKGROUND**

Delegation 1-19, dated 07/07/2005, delegate's authority to the EPA CIO and Assistant Administrator of OEI to take actions necessary to manage EPA agencywide directives concerning Information Technology (IT), Information Management (IM), information quality, and other information-related topics.

After a CIO directive is approved, the following conditions may require the CIO to revise or update the directive:

1. The directive is due for review (directives are promulgated with set dates for review, usually three years after being issued);
  2. New technology, Federal guidance, or mandated requirements;
  3. The directive is no longer relevant in the current operating conditions;
  4. Outdated information (e.g., Changes to embedded web links and dates).
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This Procedure:

- Establishes a consistent update and review process;
- Ensures reviews are conducted in a timely manner; and
- Identifies roles and responsibilities for directive review and update.

Once a directive is approved and updated, it will be updated on the OEI *intranet*. If external partners require access to the directive, the final directive is also re-posted to the Internet.

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## 5. AUTHORITY

CIO Delegation 1-19, dated 07/07/2005, establishes the authority for this Procedure.

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## 6. PROCEDURE

### A. Revision Identification

Each CIO approved directive is assigned a review date which is generally three years after its initial approval. This date is not an expiration date, but signifies when a review is warranted. Within one month after the review date, the author must determine the type of review necessary using guidelines set in this Procedure.

The originating author or other interested reviewers may review a CIO approved directive and its associated documents at any given time to determine if the directive is up to date, conforms to the directives format, and continues to meet Federal mandates.

When the author identifies the need for a revision or within one month after the review date, the author must determine the review level (i.e., Tier) required to update the directive and associated documents and must coordinate this review with the OEI Office of Program Management (OEI-OPM) Policy, Outreach, and Communications Staff (POCS). POCS manages and reports the review status of all CIO directives and facilitates their re-publication on the appropriate web pages.

If a review is prompted by a third party (e.g., Office of inspector General, OEI Policy Workgroup, OEI Immediate Office ... etc.), the third party or POCS notifies the author and provides the third party information to the author. The author coordinates with POCS to respond to the recommendation. If the decision to update is agreed upon, POCS facilitates the republishing of appropriate web pages if necessary based on the required level of review.

Examples that would require an author to review a directive include:

- a. **Review date** – Each CIO approved directive is assigned a review date. In general the review date is designated as three years after the directive approval. This date is not an expiration date. If the review date has passed, a review is warranted.
- b. **Notification or identification that a web link changed** – Many CIO approved directives contain embedded web links that can change over time thereby requiring an update.
- c. **Typographical error** – After CIO directives are posted, the author may be informed of a typographical error.

- d. **Content reorganization** – For example, a directive is written in an outdated template. In this case the information is correct and valid for its intended use; however the content needs to be reorganized to meet the current template.
- e. **Minor content changes** – Occasionally a directive or its associated documents requires a minor change to content.
- f. **Directive requires a complete revision** – For example, a directive no longer meets Agency needs as written and requires a complete revision to meet existing requirements and standards.
- g. **Removal and archival**– For example, a directive is superseded by another directive or is no longer relevant to current Agency operations.

**B. Revising and Reviewing Directives Documents**

The OEI CIO Directives program requires a full review process for each new directive before CIO approval. These steps include an internal review by the drafting office, OEI line office review, QIC SC, QIC review and CIO review.

Directives that are not new, but need a revision may not require a full review process based on the type of revisions identified. Directive authors must follow the Procedure below when they have identified a directive that needs to be revised.

Each directive must first be categorized into a “Tier” to determine the level of review and steps needed to obtain re-approval.

**a. Tier 1: Remove – Outdated or Superseded Directive(s)**

DESCRIPTION	OUTCOME
A Tier 1 directive is outdated or superseded by other directives and no longer relevant to current EPA Information Management (IM) and Information Technology (IT) requirements. Applies to directives that may not fall under Tier 2 or Tier 3.	Remove from the active directives list on EPA directives websites and archive for recordkeeping purposes.

**PROCEDURE:**

- Directive author submits a memo of intention to the CIO Directives Program Manager indicating the reason(s) why the directive should be removed.
- The CIO Directives Program Manager will review the request and will coordinate with the QIC SC Chair to schedule a presentation to the QIC SC. The QIC SC will review the recommendation and concurs or non-concurs. The QIC SC then provides a recommendation to the CIO that concurs or non-concurs with the request. The CIO will review the recommendation and concurs or non-concurs.
- If the CIO concurs with the request to remove the directive, the author coordinates with the CIO Directives Program Manager to remove the directive from the active directives list on the EPA website pages and move the directive to the archived website page for recordkeeping requirements.
- If the CIO non-concurs with the request, the CIO will communicate with the CIO Directives Program Manager and directive author on options to revise the directive to comply with current IM/IT and program requirements.

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**b. Tier 2: Major Revision of Directive(s)**

DESCRIPTION	OUTCOME
A Tier 2 directive requires substantial modifications that may include major content changes.	Follow the same process as a new directive.

**PROCEDURE:**

- Directive author develops a new directive package and follows the OEI CIO Directives review process found at <http://intranet.epa.gov/oei/imitpolicy/ciopolicy-program.htm>.
- Once the CIO approves the revised directive, the author contacts and coordinates with the CIO Directives Program Manager to re-publish the directive.

**c. Tier 3: Minor Revision of Directive(s)**

DESCRIPTION	OUTCOME
A Tier 3 directive requires adjustments that include minor content changes (e.g., website link changes, review date changes, and typos) formatting updates to meet CIO template requirements, and general content re-organization.	Obtain a recommendation from the QIC SC for CIO approval and re-publishing.

**PROCEDURE:**

- Tier 3 revisions require a memo from the authoring office to the CIO Directives Program Manager indicating the changes made with the revised document. The CIO Directives Program Manager will coordinate with the QIC SC Chair to schedule a presentation of the changes to the QIC SC. The QIC SC then provides a recommendation to either forward the revised directive to the CIO for approval or enter the directive into the full CIO Directives Program review process found under Tier 2. Once the CIO approves the revised directive the author contacts and coordinates with the CIO Directives Program Manager to re-publish the revised directive.

**C. CIO Signing Revised Directives**

Revised directives for Tier 2 and Tier 3 require a new signature from the CIO. The CIO signs and approves a hard copy of the revised document. The CIO Directives Program Manager applies the electronic signature, converts the file into a PDF document and posts it to the EPA directives website(s) ensuring the document is 508 compliant.

**D. Reporting Revised Directives Amendments**

Tier 2 and 3 directive documents that have been revised and approved must include an amendment page that includes the following information: 1) version, 2) date revisions were completed and sent for approval, 3) summary of revisions and 4) CIO directives number and transmittal number for the document(s) that are superseded by the revision. See Appendix A for an amendment template. The CIO Directives Program Manager also updates the review date on the directives website(s) for directive documents that are revised.

**E. Resolving Disputes**

A dispute may occur when another party (i.e., OEI Policy Workgroup, QIC SC, or OEI Staff) requests the originating authors to revise a directive. If the originating authors do not agree that a revision is required, the originating authors' Office Director must provide a written statement to the CIO through the CIO Directives Program Manager detailing the reasons why the directive or associated documents are 1) acceptable for Agency use as currently written and 2) continue to

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ensure the Agency conforms to Federal requirements (if applicable). The CIO Directives Program Manager will schedule a meeting with the OEI CIO, QIC SC Chair and authors to discuss the dispute. The OEI CIO makes the final decision to concur or not concur with the request.

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## **7. RELATED DOCUMENTS**

1. The CIO Delegation 1-19, dated July 07 2005
  2. QIC Charter, dated July 7, 2005
  3. The OEI Policy Workgroup Charter, dated April 12, 2012
  4. QUICK REFERENCE GUIDE OEI CIO Policy Review Process dated October 24, 2012
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## **8. ROLES AND RESPONSIBILITIES**

1. Chief Information Officer (CIO) – Only the CIO has the authority to approve Agencywide directives (i.e., CIO policies, guidance, standards and procedures) concerning Information Technology, Information Management, information quality, and other information-related topics.
  2. Quality Information Council (QIC) – The QIC's primary focus is addressing and resolving intra-Agency cross-media, cross-program, and interdisciplinary information technology/information management and related directives issues. The QIC will obtain a revised directive upon the recommendation from the QIC SC. The QIC will review the directive and develop a recommendation to the CIO for approval.
  3. Quality Information Council (QIC) Steering Committee (SC) – The primary role of the QIC SC is to assist the QIC in the development of the IT/IM and related directives agenda. The QIC SC will review revised directives developed under tiers 2 and 3. The QIC SC can provide a recommendation to move the directive to the QIC for further review or recommend approval to the CIO.
  4. Quality Information Council (QIC) Steering Committee (SC) Chair – The Chair of the QIC SC is appointed by the QIC Chair/CIO, and is responsible for leading the deliberations of the committee, assigning tasks to its members, and reporting back to the QIC, as needed. The QIC SC Chair is responsible for placing revised directives under tiers 2 and 3 on QIC SC agenda.
  5. Office of Environmental Information (OEI) Policy Workgroup Chair– The Workgroup Chair oversees the activities of the OEI Policy Workgroup. The Chair will be notified of directive revisions under tiers 1, 2, and 3. The Chair is charged to provide this information to the workgroup in an effort to share directives-related information across OEI.
  6. CIO Directives Program Manager– The CIO Directives Program Manager coordinates the activities of the OEI Directives Program in support of the CIO, OEI line offices, QIC, QIC SC and the OEI Policy Workgroup.
  7. Directives Author – The directives author is responsible for drafting the revised documents and coordinating with the CIO, QIC, QIC Steering Committee Chair and POCS staff to complete the process for CIO approval and publishing of the approved directive.
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## **9. DEFINITIONS**

N/A

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## **10. WAIVERS**

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## **11. RELATED PROCEDURES, STANDARDS AND GUIDANCE**

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Related policy, procedures, standards and guidelines are available on OEI's Policy Resources website.

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**12. MATERIAL SUPERSEDED**

N/A

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**13. ADDITIONAL INFORMATION**

For further information, questions, or comments about this Procedure, please contact OEI-OPM.

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***Renee P. Wynn, Acting Assistant Administrator  
and Chief Information Officer  
Office of Environmental Information***

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**Appendix A**

**EXAMPLE  
DOCUMENT CHANGE HISTORY AMENDMENT**

<b>Version</b>	<b>Release Date</b>	<b>Summary of Changes</b>	<b>Author of Changes</b>	<b>CIO Directives Number and Transmittal Superseded</b>
1.0	11/29/2012	Final	Senior Agency Information Security Officer	