



**U.S. Department of
Transportation**

Office of the Secretary
of Transportation

Memorandum

Subject: ACTION: New Headquarters Information Technology
Hardware and Software Freeze Policy Number 005-A

Date: **MAR 21 2007**

From: Daniel G. Mintz *Daniel G. Mintz*
DOT Chief Information Officer

Reply to
Attn. of:

To: Departmental and Secretarial Officers
Heads of Operating Administrations
Operating Administration Chief Information Officers
Operating Administration Information System Security Officers

I. Purpose.

The purpose of this memorandum is to announce the immediate freeze of information technology (IT) hardware and software (The Freeze) to be relocated as part of the Department of Transportation's (DOT's) New Headquarters move (The Move), or otherwise determined to be impacting to systems that are moving including new headquarters IT infrastructure. The remainder of this memorandum establishes freeze guidelines and the responsibilities of Operating Administration (OAs) IT personnel during The Move Freeze period for all OA information systems and the applications that reside upon them.

The Freeze is implemented to control unauthorized changes to existing and known inventory as each OA base-lined through the New Headquarters IT Infrastructure project data collections, and is required to:

- A. Ensure proper space planning and power allocation in the new facilities;
- B. Allow for development of defined move group assignments and schedules for OA IT systems;
- C. Determine and allocate the required number of technician resources, trucks, drivers and packers required for each move group;
- D. Identify specialty or vendor-specific resources required for each move group;
- E. Ensure existing warranties remain in effect or coordinate special warranty coverage as necessary for each move group;

- F. Coordinate on-site spare part replacement resources and inventory levels for each move group;
- G. Determine and allocate proper resource requirements for DOT and OAs for each move group.

Violations to this policy will impact the allocation of Departmental new headquarters project resources, could jeopardize The Move, and impede DOT's ability to successfully plan and execute the relocation.

II. Policy.

Each DOT OA will establish and adhere to The Freeze within their environments. Exceptions to this policy must be requested of, and approved by, the DOT Chief Information Officer (CIO) in writing. Emergency security patches will be permitted as necessary. The OA CIO and IT System Owners will ensure that 100 percent of their systems are in compliance with this policy. Failure to adhere to this policy may result in additional costs for relocation assignable to the OA; a lack of space and power to relocate new and unaccounted for IT hardware; and increased risk to both the OA and the Department.

- A. No hardware changes are permitted to any computer functioning as a server, storage network, network device, operating system, database, application code, or system interface until 30 days after all systems have been relocated to the new buildings.
- B. No software changes or upgrades are permitted to any computer functioning as a server, storage network, network device, operating system, database, application code, or system interface until 30 days after all systems have been relocated to the new buildings.
- C. No configuration changes are permitted to any desktop computers functioning as servers, storage networks, network devices, operating systems, databases, application code, or system interfaces until 30 days after all systems have been relocated to the new buildings.
- D. No upgrades are permitted to any desktop computers functioning as servers, storage networks, network devices, operating systems, databases, application code, or system interfaces until 30 days after all systems have been relocated to the new buildings.

Only systems that have been identified to the New Headquarters IT Infrastructure Project team for inventory and change control as of March 15, 2007, and entered into the Department's Enterprise Security Portal (ESP) for C&A compliance will be relocated into the New Building or to the ICS Hosting Site with Departmental funds.

III. Responsibilities.

- A. The System Owner is responsible for the implementation of this policy.
- B. The OA Chief Information Officers, DOT CIO, and the New Headquarters IT Infrastructure Project Office are responsible for monitoring and enforcing this policy.
- C. The New Headquarters IT Infrastructure Project Office will regularly audit and validate inventory information to ensure compliance with the policy and identify non-compliance. The authoritative repository until post-relocation is the database managed by the New Headquarters IT Infrastructure Project Office.

IV. Policy Exception Requirements.

OAs will submit all policy exception requests directly to their CIO. DOT Departmental and OST offices will submit this request to the Associate CIO for IT Services. Exceptions to policy will be considered only in terms of Departmental imperative. Exceptions will not be granted to the requirement to conform to this policy. The New Headquarters IT Infrastructure Project Office will monitor all approved exceptions.

V. Distribution.

This policy is distributed to all Departmental Officers, Heads of Operating Administrations, Operating Administration Chief Information Officers, and Operating Administration Information System Security Officers.

VI. Delegation of Authority.

The DOT CIO has delegated responsibility to establish policy and assign organization and management responsibilities for New Headquarters IT-related issues to the DOT New Headquarters IT Infrastructure Project Office.

VII. Contact.

If you or your staffs have specific questions related to this policy, please contact Andrew Orndorff, Program Manager, DOT New Headquarters IT Infrastructure Project Office at 202-366-7111 or andrew.orndorff@dot.gov.