

Approved: 05-15-2014

SUBJECT: MOBILE TECHNOLOGY MANAGEMENT

1. PURPOSE. To establish requirements, assign responsibilities, and provide guidance for federal mobile technology management and employee use of both government furnished and personally-owned mobile devices within the Department of Energy (DOE) including the National Nuclear Security Administration (NNSA). To establish requirements for use of User Agreements to govern mobile devices used for official duties.
2. CANCELLATION. None.
3. APPLICABILITY.
 - a. Departmental Applicability. Except for the equivalencies/exemptions in paragraph 3.c, this directive applies to all Departmental elements using government furnished or personally-owned mobile devices for accessing the DOE environment.
 - (1) The Administrator of the NNSA must assure that NNSA employees comply with their responsibilities under this directive. Nothing in this Order will be construed to interfere with the NNSA Administrator's authority under section 3212(d) of Public Law (P.L.) 106-65 to establish Administration-specific policies, unless disapproved by the Secretary.
 - (2) The Administrator of the Bonneville Power Administration will assure that its employees comply with their respective responsibilities under this directive.
 - b. DOE Contractors. This Order does not contain a Contractor Requirements Document. DOE contractors should refer to their applicable Risk Management Approach (see DOE O 205.1B, *DOE Cyber Security Program*, as currently amended) or implementation plan which directs the appropriate use of mobile devices within the DOE environment.
 - c. Equivalencies/Exemptions.
 - (1) Requests for equivalencies and exemptions from paragraph 4 of this directive must follow the process outlined in paragraph 6.a.(3)(c) of DOE O 251.1C, *Departmental Directives Program*, as currently amended.
 - (2) In accordance with the responsibilities and authorities assigned by Executive Order 12344, codified at 50 U.S.C. sections 2406 and 2511 and to ensure consistency through the joint Navy/DOE Naval Nuclear Propulsion Program, the Deputy Administrator for Naval Reactors

(Director) will implement and oversee requirements and practices pertaining to this Directive for activities under the Director's cognizance, as deemed appropriate.

4. REQUIREMENTS.

- a. Departmental Elements that manage DOE IT assets and infrastructure will establish signed user agreements with individuals prior to the use of mobile technology within the DOE environment to perform official duties that address:
- (1) Safe use of mobile technology in accordance with DOE O 450.2, *Integrated Safety Management*, as currently amended.
 - (2) Appropriate use of mobile technology in accordance with DOE O 203.1, *Limited Personal Use of Government Office Equipment Including Information Technology*, as currently amended.
 - (3) Procedures for lost, stolen, or damaged DOE provided mobile devices in accordance with DOE O 580.1A, *DOE Personal Property Management Program*, as currently amended; and for proper return of government furnished property at management's direction.
 - (4) Timely reporting of loss of mobile devices containing Departmental data consistent with DOE O 205.1B, *DOE Cyber Security Program*, as currently amended.
 - (5) Reimbursement guidance and procedures for the use of personally-owned mobile devices to perform official duties.

The Office of the Chief Information Officer can provide sample user agreements to support implementation of this requirement upon request.

- b. Departmental Elements that manage DOE IT assets and infrastructure must document and implement appropriate mobile device management procedures and oversight processes that address:
- (1) Use and/or prohibition of mobile devices for foreign travel.
 - (2) Identity verification and authentication requirements for access to DOE data and systems via mobile devices.
 - (3) Mobile device management (MDM) solutions for device monitoring and control for devices that store sensitive DOE information.
 - (4) Encryption and sanitization requirements for mobile devices that are used for storing sensitive DOE information.

- (5) Patch management and configuration management procedures for mobile devices that store sensitive DOE information.
 - (6) Continuous monitoring procedures to detect compromise of mobile devices that store sensitive DOE information.
 - (7) Mobile device incident notification and reporting requirements.
 - (8) Mobile device inventory and reporting processes consistent with DOE O 580.1A, *DOE Personal Property Management Program*, as currently amended. Due to potential security risks, precious metal and hazardous constituent content, and federal requirements for the disposition of electronic equipment mobile devices shall be considered accountable property.
 - (9) Mobile device service termination processes.
- c. Departmental Elements that manage DOE IT assets and infrastructure shall train employees on processes and procedures relevant to using mobile devices within the DOE environment. Mandatory cybersecurity training required under DOE O 205.1B, *DOE Cyber Security Program*, as currently amended, shall be updated to include common mobile device management requirements. Requirements specific to individual Departmental Elements must be included in organization-specific training.
 - d. Consistent with DOE O 243.1B, *Records Management Program*, as currently amended, all devices that access DOE/NNSA Network resources and store Departmental records or data, may be subject to record retrieval for business purposes. It may be necessary for DOE offices to physically collect mobile devices in support of record retrieval if records have not been captured in another way.
 - e. Departmental Elements are prohibited from providing stipends for the use of personally-owned mobile devices for government work. Reimbursement is permitted providing documentation of actual expenses incurred in the performance of official duties is provided to support reimbursement requests.
 - f. Mobile device owners use their personal devices at their own risk. DOE assumes no financial or legal liability for loss or damage of a personally-owned mobile device used for official duties.
 - g. Departmental Elements that manage DOE IT assets and infrastructure must leverage a technology solution that enables enforcement of IT policies; provides for revocation of access to DOE data and IT assets at any time; provides the capability to wipe DOE records and data stored on devices (up to and including wiping a complete device in cases of classified spillage); and provides monitoring of mobile devices while actively accessing DOE/NNSA Network resources.

- h. No classified material may be stored on mobile devices at any time except for devices that have been modified and approved by an authorized federal Authorizing Official for classified information. Inadvertent classified spillage to a personal mobile device that cannot be remediated by approved sanitation processes may result in destruction of the personal device without compensation to the owner. The Office of the Chief Information Officer can provide sample spillage acknowledgement documents supporting implementation of this requirement upon request.
- i. No DOE Personally Identifiable Information (PII) may be stored on personal mobile devices unless encrypted consistent with Federal Information Processing Standards (FIPS) 140-2. Departmental Elements that manage DOE IT assets and infrastructure must provide guidance consistent with DOE O 206.1, *DOE Energy Privacy Program*, as currently amended.
- j. Personal mobile devices must leverage a technology solution that isolates the device from DOE data and DOE IT assets in such a manner that protects the confidentiality, integrity and availability of DOE data and controls the risk the personal device will compromise DOE IT assets. For example:
 - (1) A virtualization strategy that provides remote access to computing resources through a Virtual Desktop Infrastructure or legacy thin/zero client solution and does not permanently store DOE data on the device.
 - (2) A FIPS 140-2 validated encrypted containerization strategy that can be centrally monitored and configured and provides remote container-wiping capabilities.
 - (3) Another technical solution that encrypts and controls access to DOE/NNSA Networks and DOE data stored on the device (including enforcement of DOE password policies), and provides the capability to remotely wipe the DOE data from the device.
- k. Departmental Elements that manage DOE IT assets and infrastructure are only required to provide technical assistance for issues directly related to software installed by DOE on a personally-owned mobile device.
- l. Use of mobile devices does not negate the responsibility to meet Federal and DOE requirements for managing and protecting information at rest and in transit. Departmental Elements that manage DOE IT assets and infrastructure must ensure that they follow policies and procedures for protecting data in transit and at rest.
- m. Requirements specified in Section 4 of this Order must be fully implemented by the end of FY 2015.

5. RESPONSIBILITIES.

a. Chief Information Officer (CIO).

- (1) Establish and maintain Departmental policy related to use of mobile devices in the DOE environment. Annually review and revise policy as necessary to reflect advancements in technology and emerging security issues associated with the use of mobile devices.
- (2) Establish enterprise mobile device contracts based on approved standards that allow for bulk procurements and volume savings by leveraging appropriate contract vehicles.
- (3) Retain overall accountability for mobile device use within the DOE Enterprise Information Technology Services environment.

b. Chief Information Security Officer.

- (1) Serve as the subject matter expert point of contact for the CIO for matters related to mobile technology security.
- (2) Provide advice and assistance, as necessary, to Program Secretarial Officers with regards to secure implementation of mobile technology.
- (3) Prepare Departmental mobile technology security implementation guidance as needed.
- (4) Report the DOE security posture implementation on behalf of the Department based on program reports and independent reviews of Program Office mobile technology implementation throughout the Department.

c. Heads of Departmental Elements.

- (1) Retain overall accountability for mobile device use by their organization within the DOE IT environment.
- (2) Ensure applicable mobile device management procedures are implemented in a manner that cost-effectively reduces risks to an acceptable level while supporting mission requirements.
- (3) Ensure employees are appropriately trained and user agreements are signed prior to assigning a government furnished mobile device or approving use of a personal mobile device for accessing DOE information resources.
- (4) Monitor and report on the effectiveness of mobile device management procedures.

d. Federal Employees.

- (1) Use government furnished and/or personal mobile devices consistent with the requirements of this Order and applicable user agreements.
- (2) Complete mobile device training as required by organization mobile device procedures.
- (3) Read, understand, and sign appropriate user agreement forms. Consult supervisors or other appropriate persons if they have any questions related to the content or expectations of the user agreement.
- (4) Report all identified or suspected incidents occurring during use of a mobile device for official duties or involving DOE information resources.
- (5) Consult supervisors or other appropriate persons if they have any questions concerning this Order or related matters.

6. REFERENCES.

- a.
- OFFICE OF MANAGEMENT AND BUDGET (OMB) CIRCULARS.
- Located at
- http://www.whitehouse.gov/omb/circulars_default/

OMB Circular A-130, Management of Federal Information Resources, Appendix III, Revised November 2000

- b.
- OMB MEMORANDA PERTAINING TO MOBILE DEVICE MANAGEMENT AND USE.
- Located at
- http://www.whitehouse.gov/omb/memoranda_default/

- (1) OMB Memorandum M-03-22 Guidance for implementing the Privacy Provisions of the E-Government Act of 2002
- (2) OMB Memorandum M-06-15, Safeguarding Personally Identifiable Information, May 2006
- (3) OMB Memorandum M-06-16, Protection of Sensitive Agency Information, June 2006
- (4) OMB Memorandum M-06-19, Reporting Incidents Involving Personally Identifiable Information and Incorporating the Cost for Security in Agency Information Technology Investments, July 2006
- (5) OMB Memorandum M-07-16, Safeguarding Against and Responding to the Breach of Personally Identifiable Information, May 2007

- c. DOE ORDERS, MANUALS, NOTICES, AND GUIDELINES. Located at <https://www.directives.doe.gov/directives>
- (1) DOE O 203.1, *Limited Personal Use of Government Office Equipment Including Information Technology*, or most current version of this directive
 - (2) DOE O 205.1B Chg 2, *Department of Energy Cyber Security Program*, or most current version of this directive.
 - (3) DOE O 206.1, *Department of Energy Privacy Program*, or most current version of this directive
 - (4) DOE O 251.1C, *Departmental Directives Program*, or most current version of this directive
 - (5) DOE O 314.1, *DOE-FLEX: DOE's Telework Program*, or most current version of this directive
 - (6) DOE O 450.2, *Integrated Safety Management*, or most current version of this directive
 - (7) DOE O 473.3, *Protection Program Operations*, or most current version of this directive
 - (8) DOE O 471.1B, *Identification and Protection of Unclassified Controlled Nuclear Information*, or most current version of this directive
 - (9) DOE O 471.3 Admin Chg 1, *Identifying and Protecting Official Use Only Information*, or most current version of this directive
 - (10) DOE M 471.3-1 Admin Chg 1, *Manual for Identifying and Protecting Official Use Only Information*, or most current version of this directive
 - (11) DOE O 471.6, *Information Security*, or most current version of this directive
 - (12) DOE O 580.1A Admin Chg 1, *DOE Personal Property Management Program*, or most current version of this directive
- d. OTHER
- (1) E-Government Act (Public Law 107-347), Title III - Federal Information Security Management Act, December 2002
 - (2) The Privacy Act of 1974, 5 U.S.C. §552a
 - (3) 5 CFR, Administrative Personnel, Parts 73 1 and 752 I. US Code, Title 18, Crimes and Criminal Procedures

- (4) 5 CFR 2635, Standards of Ethical Conduct for Employees of the Executive Branch OMB, Personal Use Policies and File Sharing Technology, dated 9-8-04
- (5) 10 CFR 1017, Identification and Protection of Unclassified Controlled Nuclear Information, dated 12-14-09
- (6) FIPS Publication 140-2, Security Requirements for Cryptographic Modules, February 2004
- (7) FIPS Publication 199, Standards for Security Categorization of Federal Information and Information Systems, February 2004
- (8) FIPS Publication 200, Minimum Security Requirements for Federal Information and Information Systems, March 2006
- (9) NIST Special Publication 800-37 Revision 1, Guide for Applying the Risk Management Framework to Federal Information Systems: A Security Life Cycle Approach, February 2010
- (10) NIST Special Publication 800-41 Revision 1, Guidelines on Firewalls and Firewall Policy, September 2009
- (11) NIST Special Publication 800-46 Revision 1, Guide to Enterprise Telework and Remote Access Security, June 2009
- (12) NIST Special Publication 800-53 Revision 4, Recommended Security Controls for Federal Information Systems and Organizations, 2009
- (13) NIST Special Publication 800-53A Revision 1, Guide for Assessing the Security Controls in Federal Information Systems and Organizations, June 2010
- (14) NIST Special Publication 800-57r3, parts 1-3, Recommendation for Key Management
- (15) NIST Special Publication 800-61 Revision 1, Computer Security Incident Handling Guide, March 2008
- (16) NIST Special Publication 800-83, Guide to Malware Incident Prevention and Handling, April 2010
- (17) NIST Special Publication 800-88, Guidelines for Media Sanitization, September 2006
- (18) NIST Special Publication 800-92, Guide to Computer Security Log Management, September 2006

- (19) NIST Special Publication 800-94, Guide to Intrusion Detection and Prevention Systems (IDPS), February 2007
- (20) NIST Special Publication 800-111, Guide to Storage Encryption Technologies for End User Devices, November 2007
- (21) NIST Special Publication 800-164; Guidelines on Hardware- Rooted Security in Mobile Devices, October 2012
- (22) NIST Special Publication 800-114, User's Guide to Securing External Devices for Telework and Remote Access, November 2007
- (23) NIST Special Publication 800-128, Guide for Security-Focused Configuration Management of Information Systems, August 2011
- (24) Committee on National Security Systems Instruction 1001, National Instruction on Classified Information Spillage, February 2008
- (25) DOE HQ Controlled Articles Policy Rational, dated 8-26-10
- (26) DOE Bring Your Own Device Toolkit, dated 9-28-12
- (27) DOE Cloud Computing Toolkit, dated 9-28-12
- (28) DOE Mobility Toolkit, dated 9-28-12

7. DEFINITIONS.

- a. Acceptable Use. The ethical and allowable use of mobile computing devices at DOE. These acceptable use rules are in place to protect customers, business partners, and employees of DOE. Insecure practices and malicious acts expose DOE, customers, business partners, and employees to risks including, but not limited to, virus attacks, compromise of network systems and services, and loss of data or sensitive information. Security breaches could result in legal action for individuals or DOE. In addition, security breaches damage the DOE's reputation and could result in loss of services.
- b. Containerization. Refers to a process of containment by creating a separate, protected workspace from personal data on a mobile device in an effort to secure corporate data, protect against malware, and prevent unauthorized access via security policies.
- c. DOE/NNSA Network. Connection or access to DOE data or information that is located behind the DOE firewall and requires a DOE/NNSA Network logon to access.
- d. Electronically Stored Information. Any information that is created, received, maintained or stored on local workstations, laptops, central servers, personal

digital assistants, cell phones, or in other electronic media. Examples include, but are not limited to: electronic mail (“email”), calendars, word processing documents and spreadsheets, databases, videos, video files, digital images, audio files, text messages, voicemails, activity logs, etc. Electronically stored information includes metadata.

- e. Personal Use. An activity conducted for purposes other than accomplishing official or otherwise authorized activity.
- f. Mobile Device. For the purposes of this document mobile devices includes both government furnished and personally-owned devices unless specifically limited within the wording of the requirement. A mobile device is hardware and associated software and services capable of transmitting, receiving, processing, or storing information across a wireless medium. Examples include but are not limited to mobile phones, smart phones, tablet computers, laptops, mobile Wi-Fi hotspots, mobile printers, mobile point-of-sale devices, and any other wireless device capable of transmitting, receiving, processing, or storing information, as well as associated software and services.
- g. Mobile Device Management (MDM). Refers to any routine or tools intended to distribute applications, data, and configuration settings to mobile communication devices such as cell phones, Portable Electronic Devices, and Personal Digital Assistants. It takes multiple types of mobile software and hardware to address a full solution. The intent of MDM is to optimize the functionality and security of mobile communications network, while minimizing costs and downtime.
- h. Records. All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them.
- i. Risk Management Approach (RMA). Analysis of threats/risks; risk-based decisions considering security, cost and mission effectiveness; and implementation consistent with guidelines from the National Institute of Standards and Technology (NIST) and Committee on National Security Systems cyber requirements, processes and protections.
- j. Personally Identifiable Information (PII). Any information collected or maintained by the Department about an individual, including but not limited to, education, financial transactions, medical history and criminal or employment history, and information that can be used to distinguish or trace an individual’s identity, such as his/her name, Social Security number, date and place of birth,

mother's maiden name, biometric data, and including any other personal information that is linked or linkable to a specific individual.

- k. Sensitive DOE Information. For the purposes of this document, sensitive DOE information includes Unclassified Controlled Nuclear Information and Official Use Only Information (Personally Identifiable Information; Privacy Act; and procurement, financial, and proprietary information.)
- l. Stipends. For the purposes of this document, a stipend is the provision of a flat fee for a good or service regardless of the amount of good or service used. An example would be the provision of a \$30 monthly allocation to employees who use their personal mobile phones for official duties regardless of whether the phone was used during that specific month. This can be contrasted to reimbursement where employees submit documentation of actual use of a personal mobile device to perform official duties and the organization reimburses the employee for expenses incurred.
- m. Virtual Desktop Infrastructure. Software technology that separates the desktop environment and associated application software from the physical client device that is used to access it.

Acronyms used in this Order are defined in Appendix A.

- 8. CONTACT. Questions concerning this Order should be directed to the Office of the CIO at (202) 586-0166.

BY ORDER OF THE SECRETARY OF ENERGY:



DANIEL B. PONEMAN
Deputy Secretary

ACRONYMS

ACRONYMS. The acronyms listed in the following table are for terms used in the DOE O 203.2 *Mobile Technology Management*, as currently amended, including the appendices.

CIO	Chief Information Officer
CNSS	Committee on National Security Systems
DOE	Department of Energy
FIPS	Federal Information Processing Standards
NIST	National Institute of Standards and Technology
NNSA	National Nuclear Security Administration
OMB	Office of Management and Budget
PII	Personally Identifiable Information
RMA	Risk Management Approach