

Department of Transportation
Office of the Secretary
Washington, D.C.

ORDER

DOT 1340.2A

9/21/71

SUBJECT: PERSONNEL STATUS CHARTS

1. PURPOSE. This order sets forth requirements for the establishment and maintenance of personnel status charts for major elements of the Department.
2. CANCELLATION. DOT 1340.2, PERSONNEL STATUS CHARTS, of 2/25/70.
3. SCOPE. The provisions of this order apply to the Office of the Secretary and the operating administrations.
4. BACKGROUND. Charts reflecting the personnel status of major elements of DOT will provide useful information for top officials of the Department.
5. DEFINITIONS. The terms and definitions contained in this paragraph are intended only for application to the provisions of this order.
 - a. Major organizational segments or elements. Primary subdivisions of OST and operating administrations. In FAA, FHWA, and USCG this includes the first field level (i.e., region or district) and field installations which report directly to the headquarters of the operating administrations.
 - b. Military. Includes all members of the armed forces on active duty who are a part of or are assigned to the Department. (USCG military and DOD and PHS military personnel on detail to DOT)
 - c. FY EOY OMB Ceiling. Office of Management and Budget ceiling for the end of the fiscal year.
 - d. FTP. Full-time employees in permanent positions (as reported on SF-113).
 - e. F.T. Consultants. Consultants and experts employed on a full-time basis.
 - f. Positions Authorized. Positions authorized through the budgetary process.
 - g. Filled. Employees on the rolls in pay status.
 - h. Employment (Other). Compensated employees who are not full-time in permanent positions (e.g., part-time, intermittent, etc.)

DISTRIBUTION: All Secretarial Offices
All Operating Administrations
National Transportation Safety Board (info)

OPI: Office of
Personnel &
Training

vertical lines denote changes

- i. Requested. Includes all supergrades and above or their equivalent which have been accepted by the Executive Personnel Board. (This figure can be obtained from the operating administration office which is responsible for supergrade actions; or, is available from the Office of Personnel and Training, Compensation and Executive Staffing Division, TAD-16.)
- j. Ratio of Clerical to Professional and Technical. The ratio of filled clerical positions to all other filled positions. Clerical positions are those of a clerical nature (including secretarial, typing and stenographic positions) which are classified to particular series in the following groups: GS-100, 200, 300, 500, 900, 1000, 1100, 1200, 1500, 2000, and 2100. In cases where a position is classified to a series which encompasses both clerical and nonclerical work (e.g., GS-301, GS-501), the reporting organization shall determine whether the position should be included in the clerical grouping. In making these determinations, factors such as the nature of the work, grade level, and career progression should be considered.
- k. Supergrades. Positions GS-16 through GS-18 and equivalents (e.g., P.L. 313's and Specials paid at equivalent rates).
- l. Ratio of Requested Supergrades and Above to Total. The ratio of requested and authorized supergrade and above positions (including equivalents) to total employment.

6. RESPONSIBILITIES.

- a. Heads of operating administrations shall be responsible for preparing and periodically updating charts which reflect the personnel status (authorized and filled positions) of major segments of their organizations.
- b. The Assistant Secretary for Administration shall be responsible for preparing and periodically updating charts which reflect the personnel status of major segments of the Office of the Secretary.

7. REPORTING REQUIREMENTS.

- a. Format and content of charts shall be in accord with the sample which is furnished as Attachment 1 to this order.
- b. Data included in charts shall be arithmetically correct (e.g., the sum of subtotals must agree with summary figures).
- c. Employment data shall be consistent with SF-113 reports.
- d. Each chart shall include approval signature of the official responsible for its preparation (see paragraph 6).

- e. Initial charts shall be prepared as of the end of September 1971.
- f. Updated charts shall be prepared quarterly thereafter.
- g. Charts shall be submitted to the Office of Personnel and Training (Attention: TAD-15) by no later than the 18th day of each October, January, April, and July.



James M. Beggs
Under Secretary
of Transportation

vertical line denotes change

Department of Transportation
FEDERAL RAILROAD ADMINISTRATION
PERSONNEL STATUS

FRA (EXCLUDING ARR)		
RATIO	AUTHORIZED	FILLED
Supergades and above to Total:	1:36.0	1:40.0
Clerical to professional and technical:		1:2.8

SUMMARY

Pos.	FY 1971	Req.	Req.
	088	088	088
	1,130	1,065	1,065
EMPLOYMENT (FTP)	985	930	67
EMPLOYMENT (OTHER)		33	0
TOTAL		1,148	67
EL III	(1)	(0)	1
EL V	(2)	(2)	1
GS-18	(2)	(2)	1
GS-17	(4)	(4)	0
GS-16	(9)	(9)	10
F. T. Consultants		(0)	0
Military		(0)	0

ADMINISTRATOR
Vacant EL III

DEPUTY ADMINISTRATOR
Carl V. Lyon, GS-18

	Auth.	Filled	Requested
EMPLOYMENT (FTP)	8	8	0
EMPLOYMENT (OTHER)	(1)	(0)	0
EL III	(0)	(0)	1
EL V	(0)	(1)	1
Supergades	(1)	(1)	0
F. T. Consultants		(0)	0
Military		(0)	0

OFFICE OF HEARINGS AND PROCEEDINGS
Director, Robert R. Boyd, GS-16

	Auth.	Filled	Requested
EMPLOYMENT (FTP)	2	2	0
EMPLOYMENT (OTHER)	0	0	0
Supergades	(1)	(1)	0
F. T. Consultants		(0)	0
Military		(0)	0

Offices & Directors

Office	Director	Grade	Auth.	Filled	Requested
OFFICE OF ADMINISTRATION	Director, Michael K. O'Rourke	GS-15	22	20	0
OFFICE OF CHIEF COUNSEL	Chief Counsel, Robert L. Kessler	GS-17	12	10	0
OFFICE OF PUBLIC AFFAIRS	Director, Edwin F. Edel	GS-15	2	3	0
OFFICE OF POLICY AND PLANNING	Director, James H. MacAnanny	GS-17	21	16	0

Bureaus & Special Offices

Bureau	Director	Grade	Auth.	Filled	Requested
BUREAU OF RAILROAD SAFETY	Director, Mac E. Rogers	GS-17	246	226	0
OFFICE OF HIGH SPEED GROUND TRANSPORTATION	Director, Vacant	GS-18*	55	39	0
ALASKA RAILROAD	General Manager, John E. Minton	(Pay Administratorly Determined)	802	577	0

*Requested includes all supergrades and above or equivalent which have been accepted by the Executive Personnel Board.

POS. AUTH: The only specific authorization is for FTP (Temporary, Part-time and Intermittent controlled only thru Funds Allocation).

(): Included in FTP Column.

CHART NO.	A.S. OF	FREQUENCY	SOURCE
09-24	Jan. 31, 1971	Monthly	RA-10

Carl V. Lyon
SIGNATURE OF CERTIFYING OFFICER
(HEAD OF OPERATING ADMINISTRATION)

3/1/71
DATE