



**U.S. Department of
Transportation**

Office of the Secretary
of Transportation

ORDER

DOT 1352.1

4-13-87

Subject: AUTOMATION POLICY

1. **PURPOSE.** This Order establishes Departmental policies and a series of handbooks related to automation procedures within the Department of Transportation (DOT).
2. **BACKGROUND.** The continuing growth of automation activities and the increasing importance of such activities for the fulfillment of Departmental missions requires a flexible and responsive mechanism for the establishment and promulgation of policies and procedures within DOT. This Order and the subordinate issuances of procedural handbooks will create such a mechanism.
3. **POLICY.** All organizational elements of the Department of Transportation will:
 - a. Adhere to the requirements of the Paperwork Reduction Act of 1980 (Title 44 U.S.C. Chapter 35).
 - b. Observe Federal Information Resources Management Regulations published by the General Services Administration as well as Departmental issuances related to automation.
 - c. Adhere to provisions of OMB Circular A-130 regarding cost accounting for information facilities.
 - d. Adhere to security regulations and procedures issued by the General Services Administration and other central oversight agencies or agencies designated to provide Government-wide leadership in specific areas.
 - e. Manage Departmental automation activities so as to maximize cost-effectiveness and ensure appropriate automation support for Departmental missions.
 - f. Practice innovation to achieve increased productivity through the application of new technological developments in automation.
4. **APPLICABILITY.** This Order applies to all DOT automation activities, including planning, acquiring, developing, testing, using, managing, and disposing of hardware, software, and support services. Hardware includes word processing equipment, microcomputers, minicomputers, large scale computers, and peripheral equipment associated with computers (e.g., printers, modems, tape, disk drives, etc.). Software includes systems and applications programs and documentation related to the use of hardware or programs.

DISTRIBUTION: All Secretarial Offices
All Operating Administrations

OPI: Office of
Info. Resource
Management

5. **IMPLEMENTATION.** The DOT automation orders and accompanying procedural handbooks will establish procedures in specific areas, e.g., acquisition, resource sharing, planning, standards, and software management. References contained in the appendix to this order will be cited in the handbooks.

FOR THE SECRETARY OF TRANSPORTATION:



Melissa J. Allen
For the Assistant Secretary for
Administration

General

1. OST Order 4400.2, OST Procurement Procedures, March 16, 1973.
2. DOT Order 1100.15, DOT Management Analysis Council, October 30, 1967.
3. DOT Order 1370.6A, Automated Data Processing Policies, August 10, 1979.
4. DOT Order 1370.9, Policy and Guidelines for Determining the Need for Utilization of Automatic Data Processing Resources, April 5, 1977.
5. DOT Order 4000.6B, Reassignment of Excess Automatic Data Processing Equipment, July 10, 1984.
6. DOT Order 4000.8A, Use of Contracts, Grants and Cooperative Agreements, August 17, 1982.
7. DOT Order 4200.9A, Acquisition Review and Approval, 8-29-78.
8. DOT Order 4200.10A, Review and Approval of Proposed Non-competitive Procurements, June 16, 1982.
9. DOT Order 4200.11A, Source Selection, October 18, 1981.
10. DOT Order 4200.12B, Review of Proposed Contract Actions, February 10, 1986.
11. DOT Order 4200.14B, Major Systems Acquisition and Approval, January 6, 1983.
12. DOT Order 4200.16, Prenotification Review of Proposed Acquisition and Assistance Actions and Related Matters, January 30, 1986.
13. DOT Order 4230.1, Processing of Procurements Under \$2,500-- Small Purchases, November 3, 1970.
14. DOT Order 4400.2C, Performance of Commercial Activities, February 24, 1984.
15. DOT Order 4600.2A, Federal Property Management Regulations, January 28, 1977.

16. OMB Circular A-109, Major Systems Acquisition.
17. OMB Circular A-130, Management of Federal Information Resources, December 12, 1985.
18. The Brooks Act, 40 U.S.C. §759, dealing with the purchase, lease, maintenance, and operation of automatic data processing equipment by Federal agencies.
19. Federal Property and Administrative Services Act of 1949, as amended, 41 U.S.C. §251 et seq.
20. 41 CFR Chapter 1, Federal Procurement Regulations, provides procedures and controls for the procurement of equipment and services.

Budgeting/Planning

1. DOT Order 1370.8, Planning and Reporting Procedures for Automatic Data Processing Equipment and Services, January 17, 1975.
2. OMB Circular A-11, Preparation and Submission of Annual Budget Estimates, Transmittal memo No. 55, July 2, 1984.
3. OMB Circular A-94, Discount Rates to be Used in Evaluating Time Distributed Costs and Benefits, Revised.
4. OMB Circular A-130, Management of Federal Information Resources, December 12, 1985.

Remote Access Computing

1. DOT Order 1370.1A, Utilization, Administration and Financing of Automatic Data Processing Remote Access Computing, August 23, 1973.
2. DOT Order 4400.2C, Performance of Commercial Activities, February 24, 1984.

Standards

1. DOT Order 1370.4A, Information Systems Data Standards Policy and Organization, September 17, 1975.
2. DOT Order 1370.5, Department of Transportation Data Standards, August 31, 1973.

3. DOT Order 1370.11, Information Processing Standards Program Policy, July 8, 1982.
4. OMB Circular A-119, Federal Participation in the Development and Use of Voluntary Standards, Revised.
5. Federal Property and Administrative Services Act of 1949, as amended, 41 U.S.C. §251 et seq.

Security

1. DOT Order 1640.7, Department of Transportation Automatic Data Processing Security Policy, July 7, 1976.
2. DOT Order 1640.8, Department of Transportation Automatic Data Processing Security, November 12, 1976.
3. OMB Circular A-76, Performance of Commercial Activities, Revised.
4. OMB Circular A-130, Management of Federal Information Resources, December 12, 1985.
5. Freedom of Information Act, 5 U.S.C. §552.
6. Federal Information Processing Standard (FIPS) No. 31, Guidelines for Automatic Data Processing Physical Security and Risk Management, June 1974, issued by the National Bureau of Standards.
7. Federal Information Processing Standard No. 39, Glossary for Computer Systems Security, February 15, 1976, issued by the National Bureau of Standards.
8. Federal Information Processing Standard No. 41, Computer Security Guidelines for Implementing the Privacy Act of 1974, May, 1975 issued by the National Bureau of Standards.
9. Fire Protection for Essential Electronic Equipment, Recommended Practice No. 1, Federal Fire Council.

Word Processing/Office Automation

1. DOT Order 1370.11, Information Processing Standards Program Policy, July 8, 1982.

Records Management/Paperwork Reduction

1. OMB Circular A-130, Management of Federal Information Resources, December 12, 1985.
2. The Brooks Act, 40 U.S.C. §759, dealing with the purchase, lease, maintenance, and operation of automatic data processing equipment by Federal agencies.
3. 5 CFR Part 1320, Controlling Paperwork Burdens on the Public.
4. 44 USC 301 et seq., The Records Disposal Act of 1943.
5. Federal Records Management Amendments of 1976, Title 44 U.S.C. Chapter 33.
6. Federal Records Act, Title 44 U.S.C. Chapters 21, 25, 27, 29 and 31.

Privacy and Freedom of Information

1. DOT Order 1050.3, Implementation of the Privacy Act of 1974, December 23, 1975.
2. Freedom of Information Act, 5 U.S.C. § 552.
3. Federal Managers' Financial Integrity Act of 1982, 31 U.S.C. §§1105, 1113, 3512.
4. The Privacy Act of 1974, 5 U.S.C. §552a.
5. 49 CFR Part 7, Public Availability of Information.
6. 49 CFR Part 10, Maintenance of and Access to Records Pertaining to Individuals.