

Department of Transportation

Office of the Secretary

Washington, D.C.

ORDER

DOT 1370.1A

8-23-73

SUBJECT: UTILIZATION, ADMINISTRATION AND FINANCING OF AUTOMATIC DATA
PROCESSING REMOTE ACCESS COMPUTING

1. PURPOSE. This Order prescribes the policies and procedures to be followed in obtaining and utilizing remote access computing services and establishes the Working Capital Fund as a means of financing those commercial services.
2. CANCELLATION. DOT Order 1370.1, Utilization, Administration and Financing of Automatic Data Processing Remote Access Computing of 5-23-69.
3. SCOPE.
 - a. The provisions of this Order apply to the Office of the Secretary (OST) and the operating administrations. In addition, pursuant to delegation by the National Transportation Safety Board (NTSB) under Section 5(m) of the Department of Transportation (DOT) Act, this Order is applicable to the NTSB.
 - b. The provisions of this Order do not apply to internal remote accessing of an administration's own system.
4. BACKGROUND. Since the requirements of DOT are wide-ranging from both the type of application and the size of the program, no one remote access computing system satisfies all needs. It is, therefore, necessary to supplement those systems available in the Federal establishment with commercial sources. DOT centrally administered multiple award contracts will be used since they have the three-fold advantage of reducing administrative overhead, obtaining more favorable rates through volume buying and providing the resource variety to match DOT needs.
5. REMOTE ACCESS COMPUTING means receiving ADP services from a data processing facility via one or more communication stations that are distant from that facility.
 - a. This definition is intended to include all forms of remote ADP service. Some examples of such services are: (1) text processing, (2) interleaved time sharing (i.e., where there is a rapid response and a high degree of user-computer interaction; sometimes referred to as a conversational mode), and (3) remote batch computing (i.e. where once the data and programs are entered, processing is in the traditional batch mode with little or no user-computer interaction).

DISTRIBUTION: All Secretarial Offices
All Operating Administrations
National Transportation Safety Board

OPI: Office of
Management
Systems

- b. Since the dividing line is not clear cut, remote batch and interleaved time sharing is simply referred to as time sharing. The distinction is necessary since many production type programs are much less costly when run on a remote batch system than on an interleaved time-sharing system.

6. AUTHORIZATION OF A REMOTE ACCESS COMPUTING INSTALLATION

- a. The action required to obtain authority for installation of a remote access computing capability like acquisition of in-house computer systems follows the pattern prescribed by the Office of Management and Budget (OMB), OMB Bulletin 60-6 (March 1960), General Services Administration (GSA), FPMR-E-101-32, and DOT Order 1370.2A, Procurement of Automatic Data Processing Equipment and Services, of 7/22/70.
- b. The first requirement in each case is for a thorough analysis and system study which documents that a computer system is needed to support mission accomplishment, that a valid application of ADP is involved, and that remote access computing is justified in preference to a conventional installation. The benefits of remote access computing must be clearly demonstrated.
- c. Within the scope of the delegated authority Secretarial Officers, heads of the operating administrations and NTSB must assure that a proposed installation satisfies the terms of OMB, GSA and DOT Order 1370.2A. If commercial remote access computing is proposed, they must additionally determine and certify that the requirement cannot be met: first within DOT; and secondly, from other Federal sources. As in the case of acquisition of ADP equipment, action taken pursuant to delegated authority to acquire remote access capability should be reported to the Assistant Secretary for Administration in accordance with the provisions of DOT Order 1370.2A.
- d. Where the expected cost of the service or services required exceeds the limits of delegated authority, the requirement shall be referred to the Assistant Secretary for Administration for approval.

7. ADMINISTRATION.

- a. Obtaining GSA Clearance for Remote Access Computing Systems. GSA approval is required for the installation of remote access computer system terminals in the case of both government and commercial sources as per FPMR-E-101-32. Some of the operating administrations have internal procedures whereby clearance is obtained through their own telecommunications organizations. For those who do not have such procedures, the Office of Management Systems, Information Systems Division, will obtain the necessary clearance upon being provided with the following information:

- (1) The make and model number of the proposed data terminals.
 - (2) Detailed characteristics of the technical interface requirements between the communications terminal and the computer to be utilized.
 - (3) Make, model number, and configuration of the computer.
 - (4) Cost details of any and all of the proposed terminals, data sets, channel terminals, and circuit costs, both for recurring and one-time charges.
 - (5) Points of interconnection for exchange of data information, and the data flow between these interconnection points or terminations, to include: Number of characters per transmission; number of transmissions per day; probable busy hour of the day for these transmissions; days of the week that these transmissions must be made; and volume of traffic between these terminals as well as to and from any central collection point.
 - (6) Perishability of data or the requirements for rapid turnaround time.
 - (7) Residual errors permissible.
 - (8) Such other pertinent information agencies may wish to present that will enable GSA to evaluate the data proposal.
 - (9) A recommendation to GSA based on an analysis of the above facts.
- b. Selecting Vendors for Commercial Remote Access Computing Systems
- (1) A selection board consisting of representatives from interested Secretarial Offices, operating administrations and NTSB will meet annually or when requested by the Chief, Information Systems Division, OST, to select the appropriate commercial sources.
 - (2) The services selected will vary according to changes in DOT requirements, the capability of the Federal establishment and industry advancements.
 - (3) Under the guidance of the Assistant Secretary for Administration, the Director of Management Systems, OST, and the contracting officer, the Chief, Information Systems Division, will be responsible for monitoring the administration of the contract while the Chief, Accounting Operations Center, will be responsible for providing accounting and billing support.

8. OPERATION

Access to a remote computing system requires three sets of codes: a.) Billing identification code b.) User identification code and c.) password.

- a. Billing identification codes. This code consists of one alpha character and four numeric characters and is issued down to the Office Director level of responsibility by the Information Systems Division of the Office of Management Systems, OST. These codes generally follow the Departmental organizational except in those cases where unusual conditions require an exception. In such cases the organization requiring the exception will request same by memorandum to TAD-25. In no case will a user activate a billing identification code without prior coordination with TAD-25.
- b. User identification codes. The Office Director may further assign user identification codes down to any organizational level over which he exercises appropriate control. This code will consist of at least three alpha or numeric characters. This unique identification of each user under his control permits the office director to quickly analyze costs from monthly billings.
- c. Password. For security purposes every system requires the user to create a password. This code does not print out and should be known only to the user and the vendor. To maintain security, this code should be changed periodically as appropriate.
- d. Project identification. Most systems have a capability for accumulating costs by project as well as by user identification code. The user activates this capability after gaining access to the system.

9. PROCEDURES AND RESPONSIBILITIES

Payment of vendors invoices will be made by the Accounting Operations Center upon the approval of the contracting officer representative. One copy of the invoice with supporting documentation, as appropriate, will be submitted to the user organization. This is normally the office director level. However, in those instances where an administrator or Secretarial office has established a central control point, all invoices for that organization will be submitted to the control point only. Organizations who desire this method of management may request same by memorandum to the Accounting Operations Center (TAD-29). If the exception is taken for violation of a contract, the contracting office will be advised accordingly by the Accounting Operations Center (TAD-29). Corrective action, as appropriate, will then be initiated by the contracting officer. All payment adjustments will be accomplished by the Accounting Operations Center.

10. WAIVERS.

An occasion may arise where a user requires a specialized function (e.g. the Wharton model of the U. S. economy) not provided under these contracts. In such a case the user will forward to the Assistant Secretary for Administration appropriate justification describing the circumstances that require another source of supply. Where waivers are granted the user organization will be responsible for contracting for the required service.

11. DISCOUNTS.

The DOT remote access computing contracts are subject to prompt payment and volume type discounts. Discounts are apportioned back to the user on a straight line basis at the time charges are made against the user account in the working capital fund.

12. DOT DATA PROCESSING SYSTEMS COUNCIL.

Suggestions for improvement will be made through the DOT Data Processing Systems Council which will conduct a review twice each year.

FOR THE SECRETARY OF TRANSPORTATION:



William S. Heffelfinger
Assistant Secretary
Administration