

Department of Transportation

Office of the Secretary

Washington, D.C.

ORDER

DOT 1370.8

1-17-75

SUBJECT: PLANNING AND REPORTING PROCEDURES FOR AUTOMATIC DATA PROCESSING
EQUIPMENT AND SERVICES

1. PURPOSE. This document establishes the procedures to be followed in planning for and reporting the utilization of automatic data processing (ADP) resources.
2. REFERENCES
 - a. Office of Management and Budget (OMB) Circular A-11, Preparation and submission of the annual budget.
 - b. Federal Management Circular 74-2, ADP Management Information System (ADP/MIS), of 2-25-74, which describes the Government-wide information system covering all ADP equipment.
 - c. DOT 1370.7, Source and Utilization Reporting for Automatic Data Processing Resources, of 10-7-74, which establishes additional report requirements for ADP resources.
3. BACKGROUND. Federal Management Circular (FMC) 74-2 and implementing instructions provide annually by OMB require agencies to submit detailed information concerning the ADP equipment they use and the benefitting program or management activity. The agencies are required also to develop internal implementing instructions to accomplish the objectives of the Circular. The Secretary of Transportation is requested to provide a comprehensive plan for ADP activities within the DOT. The plan is to contain the detailed budget and financial data prescribed by OMB Circular A-11 and the quantitative data specified in FMC 74-2. Narrative descriptions of current and planned systems and use are also required to provide an overall DOT plan which summarizes all activities within the Department. The OMB also imposes a formal limitation on ADP expenditures as a part of the Departmental budget review process.

DISTRIBUTION: All Secretarial Offices
All Operating Administrations

OPI: Office of
Management
Systems

4. OBJECTIVES. This Order formalizes the procedures for collecting and coordinating data on ADP plans and obligations for all organizations within DOT. A comprehensive ADP plan for the Department will be prepared and maintained for both external planning justification and for internal planning. Coordinating and establishing DOT limitations on ADP expenditures, and internal planning, are responsibilities of the Assistant Secretary for Administration (TAD). The formal outputs of these procedures include:
- a. An ADP Financial Plan, which will be submitted to OMB by TAD on approximately April 1 of each year, showing the obligations, manpower and number of computer systems planned or approved for the Department for the immediate past and current fiscal year and five future fiscal years. The general form of the ADP Financial Plan is shown in Attachment A.
 - b. Individual ADP Financial Plans for each administration and the Office of the Secretary in the same format as the consolidated plan.
 - c. A supplementary financial statement showing the sources of funding for ADP activities for the current and budget fiscal years.
 - c. Supporting narrative which describes the current systems and their use and sets out the plans for future operations. This narrative will highlight any accomplishments, issues or problems which need to be considered.
5. RELATIONSHIP OF ADP FINANCIAL PLAN AND BUDGET. The planned expenditures for ADP within a fiscal year are reported by three different submissions at various times during the year.
- a. Exhibit 24-B to the annual budget submission prescribed by OMB Circular A-11. This contains detailed breakouts of planned or actual obligations for three years: the prior year, the current year and the budget year. The figures for the budget year represent the first formal submission of requirements by the agencies.
 - b. The ADP Financial Plan described in paragraph 5 above follows the Exhibit 24-B submission and reflects the DOT response to OMB guidance on the budget as defined in that submission. The plan also contains estimates for four years beyond the budget year, but these do not represent budgetary commitments, only future planning on a broad scale.
 - c. The ADP/MIS submission is made in July or August but contains only prior year and current year data. This submission is made to GSA rather than OMB and is in punched-card format rather than in printed-report format.

- d. From the initial formal submission on the Exhibit 24-B, the prior, current and budget year data should track through all three submissions; that is, the numbers for any year should equal or reconcile by specific, documented action on any subsequent submission.
6. ADP COORDINATORS. All Secretarial Offices and operating administrations having organizations which perform ADP functions (either as a user or provider of service) shall designate individuals as ADP coordinators. The ADP coordinator will serve as the official point of contact for the organization in ADP matters. He will be specifically responsible for coordinating and submitting (after management approval) all ADP planning and reporting data for the organization he represents. To assure continuity, alternate ADP coordinators should also be designated.
 7. PLANNING PROCEDURES.
 - a. The Assistant Secretary for Administration will:
 - (1) Receive requests concerning ADP plans and resource requirements or utilization from the Office of Budget, OMB or others as appropriate.
 - (2) Analyze the requirements and provide additional implementing guidance if necessary.
 - (3) Forward the requests for ADP planning data together with any further guidance or implementing instructions to the ADP coordinators of all affected organizations.
 - (4) Receive inputs from all elements of the Department as required.
 - (5) Prepare and coordinate the consolidated DOT ADP Financial Plan.
 - (6) Establish and redistribute internal DOT limitations on ADP expenditures for each administration and office, using DOT 2300, DOT ADP Obligation Ceiling Authorization.
 - (7) Forward the final DOT Financial Plan to the Office of Management and Budget.
 - (8) Justify and defend the Department's position as needed, including reconciling the DOT limitation with the OMB limitation as required.
 - (9) Monitor the execution of the DOT ADP program as authorized.

- (10) Coordinate and redistribute limitations on expenditures among the elements of the DOT within the authorities delegated to the Department to meet changed requirements and improve the overall level of ADP service.
- b. Secretarial Officers and heads of operating administrations will:
- (1) Prepare inputs to requests for ADP planning data according to the form and schedule provided by the Assistant Secretary for Administration.
 - (2) Cooperate with TAD and other affected offices and administrations to develop a cost effective overall program for the Department. This requires particular attention to providing adequate planning data and balancing ADP resources and requirements among all component organizations.
 - (3) Provide narrative and quantitative data to justify and explain their requirements and plans.
 - (4) Execute the authorized ADP program within the DOT limitations.
 - (5) In addition to existing submissions (A-11 Exhibit 24-B in November, ADP Financial Plan in March and ADP/MIS cards in August) provide a mid-year report to the Assistant Secretary for Administration on program accomplishment. Potential surplus or shortage conditions will be identified as early as possible to allow time for adjustment of ADP expenditure limitations.
- c. Heads of organizations having ADP units (as defined in FMC 74-2) will, in addition to submitting written planning data as prescribed in paragraph 8.b.(1), submit punched cards (or transcripts suitable for key punching) for equipment, funding and manpower at another time as prescribed by schedules which will be coordinated with GSA and issued by TAD. Decks will be provided in duplicate interpreted, and will be accompanied by an 80/80 listing. The cards will be prepared in accordance with the General Services Administration's ADP/MIS Reporting Procedures for Federal Management Circular 74-2 and supplementary instructions issued by TAD. The data on these ADP/MIS cards will be reconcilable with the ADP Financial Plan.
- d. OMB Circular A-11 requires, as part of the annual budget submission, a report on "Total Obligations and Inventory of ADP Systems" -- normally Exhibit 24-B to the Circular. This document, which is submitted through budgetary channels, has the same stub format as the ADP Financial Plan. The figures submitted on the 24-B form should agree with (or reconcile to) the figures on the ADP Financial Plan.

8. CRITERIA FOR REPORTING

- a. Personnel. All personnel who are involved in ADP activities as defined in FMC 74-2 will be reported. This will include civil, military and contractor personnel located in an ADP unit and employed full-time on ADP functions. In the case of leased equipment where the leased price includes maintenance, the maintenance personnel will not be reported. If maintenance is provided under a separate contract, full-time resident maintenance personnel will be reported as contractor personnel. If maintenance is provided on essentially an on-call basis, the maintenance personnel will not be reported. Direct involvement in the ADP process or organization is required as a basis for reporting; service personnel from other organizations (e.g., security guards, messengers, janitors) will not be included even if they are located in the ADP facility on a full-time basis.
- b. Systems and Central Processing Units (CPU). Systems, consisting of one or more central processors and directly associated peripheral equipment, will be grouped and reported on the same basis as their normal use. For example, a small computer used only as an input/output controller for a larger processor would not be reported as a separate system, but as part of the system defined by the main processor. Items which are used as stand alone supporting equipment, such as off-line printers and multi station key-to-disk input systems will be defined according to their use even though they may contain some form of computer. Changes in the statutes of system (e.g., splitting up a dual-processor system to use as two independent computers) must be identified by a change in the report submitted, explained by footnote. Temporary, emergency use of part of a system to overcome an immediate problem does not constitute a change for reporting purposes.
- c. Contracts. All contracts issued specifically for ADP services will be included. Other contracts (R&D, Special Studies, etc.) not written exclusively for ADP services but having a significant ADP ingredient, will be included if:
 - (1) An ADP product (software package) is specifically cited as a deliverable item, and
 - (2) The ADP portion of the total contract cost (programming and implementation) is clearly identifiable or can be estimated from the contract documents.

The ADP portion of these contracts will be separated and reported as part of the ADP Financial Plan. Where the use of ADP is small (less than 25% of the total cost of \$100,000, whichever is less), not easily separated, and clearly incidental to the major purpose of the contract, the ADP portion will not be reported.

- d. Obligations and Man-Years. Obligations will be reported in thousands of dollars unless otherwise identified and will represent total obligations during the fiscal year. Man-years, in the case of contract personnel, will generally represent a conversion of cost into equivalent personnel for a full year at appropriate rates. For example, two men for an entire year, plus one man for six months, all at a consistent overtime rate of 20% would equate to three man-years $\frac{2 + 1/2}{1.2} = 2.5$. For Government employees and military personnel overtime will not be considered in the computation; the reported figure will be based on on-board strength multiplied by the part of the year each individual was employed.

9. SYSTEMS/PERSONNEL EXEMPT FROM REPORTING

The ADP Financial Plan will reflect the obligations and manpower associated only with the applicable ADP systems as defined by FMC 74-2, paragraph 4.b (full and partial exemptions). Manpower and costs directly related to exempted systems will be excluded from the Plan.

FOR THE SECRETARY OF TRANSPORTATION:



William S. Heffelfinger
Assistant Secretary
Administration

AGENCY ADP FINANCIAL PLAN

	FY-73 ACTUAL	FY-74 REQ.	FY-74 ALLOW	FY-75 REQ.	FY-75 ALLOW	FY-76 EST	FY-77 EST	FY-78 EST	FY-79 EST
AGENCY:									
CAPITAL INVESTMENTS (\$000)						XXX	XXX	XXX	XXX
PURCHASE NEW ADPE						XXX	XXX	XXX	XXX
PURCHASE LEASED ADPE						XXX	XXX	XXX	XXX
PURCHASE OTHER EQUIPMENT						XXX	XXX	XXX	XXX
SITE PREPARATION									
SUB-TOTAL						XXX	XXX	XXX	XXX
IN-HOUSE OPERATIONS									
CIVILIAN SALARIES & OVERTIME (\$000)									
CIVILIAN MANYEARS									
MILITARY PAY & ALLOWANCES (\$000)									
MILITARY MANYEARS									
ADPE RENTALS (\$000)						XXX	XXX	XXX	XXX
TELECOMMUNICATIONS (\$000)						XXX	XXX	XXX	XXX
SUPPLIES & OTHER (\$000)						XXX	XXX	XXX	XXX
SUB-TOTAL						XXX	XXX	XXX	XXX
CONTRACT OPERATIONS (\$000)						XXX	XXX	XXX	XXX
ADPE TIME & RELATED SERVICES						XXX	XXX	XXX	XXX
SYSTEMS ANALYSIS & PROGRAMMING						XXX	XXX	XXX	XXX
ADPE MAINTENANCE						XXX	XXX	XXX	XXX
ALL OTHER									
SUB-TOTAL						XXX	XXX	XXX	XXX
INTER-AGENCY SERVICES (\$000)						XXX	XXX	XXX	XXX
PAYMENTS TO OTHER AGENCIES						XXX	XXX	XXX	XXX
RECEIPTS FROM OTHER AGENCIES									
SUB-TOTAL									
NUMBER OF COMPUTERS									
GENERAL MANAGEMENT SYSTEMS									
OWNED CPU									
LEASED CPU									
SPECIAL MANAGEMENT SYSTEMS									
OWNED CPU									
LEASED CPU									
TOTAL SYSTEMS									
TOTAL CENTRAL PROCESSORS									
AGENCY TOTALS						XXX	XXX	XXX	XXX
TOTAL OBLIGATIONS						XXX	XXX	XXX	XXX
TOTAL MANYEARS									
TOTAL SYSTEMS									
TOTAL CENTRAL PROCESSORS									