



**U.S. Department of  
Transportation**

Office of the Secretary  
of Transportation

# ORDER

DOT 5400.1A

5-18-84

Subject: TELECOMMUNICATIONS MANAGEMENT POLICIES

1. PURPOSE. This Order establishes policies and responsibilities for the management of telecommunications systems, equipment and services within the Department of Transportation (DOT).
2. CANCELLATION. DOT 5400.1, Telecommunications Management Policies, 8-2-82.
3. REFERENCES. Appendix A lists those policies, references and regulations external to the Department that apply to the management, acquisition and use of telecommunications throughout the Federal Government.
4. BACKGROUND. DOT annually spends over \$1 billion for telecommunications services, equipment and systems, which are acquired by and for individual programs, offices and administrations. The substantial expense of the diverse telecommunications resources of the Department warrants the establishment of more uniform, centralized management via policy and oversight to minimize total costs and yet meet user requirements.
  - a. The high cost for telecommunications in the Federal Government has been recognized at all levels. Legislative actions have occurred which place strong controls on agency management of telecommunications. The Office of Management and Budget (OMB) is conducting close reviews of budget documentation in an effort to hold down costs while still providing needed services with required efficiency.
  - b. The Paperwork Reduction Act of 1980 (P.L. 96-511) assigns each Federal Agency the responsibility for intensive management of automated data processing, telecommunications and paperwork reduction programs. The law requires that each agency identify a Single Official to be responsible for centralized management of these resources. Within the Department of Transportation, the Assistant Secretary for Administration is the Single Official. The Director of Information Systems and Telecommunications Policy supports the Assistant Secretary for Administration in exercising responsibilities under the Act.
  - c. P.L. 96-511 also requires that each agency initiate comprehensive multi-year planning for telecommunications systems, forecasting user needs and projecting expenditures.

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- d. The Federal Property Management Regulations (FPMR), 41 CFR subpart 101-37, Telecommunications Management, prescribe criteria and standards applicable to the procurement and use of telecommunications and direct all agencies to implement these criteria and establish control procedures to ensure that only telecommunications equipment necessary to carry out agency responsibilities is provided. Certain DOT telecommunications systems and services are exempt from the provisions of the FPMR. The FPMR is managed and regulated by the General Services Administration (GSA).
  - e. OMB Circular No. A-123 requires each agency to: prescribe agency policies and standards for internal control of program and administrative activities, conduct vulnerability assessments of all agency activities, and based on internal control reviews, implement necessary improvements.
5. GENERAL PRINCIPLES. The following apply to the statements of policy and responsibility contained in this Order.
- a. Telecommunications support and services shall be provided at a minimum total cost consistent with requirements for capacity, effectiveness, efficiency, and reliability.
  - b. A DOT-wide common approach with assigned responsibilities is necessary to effectively manage telecommunications.
6. DEFINITIONS.
- a. Telecommunications. Telecommunications services include, without limitation: the transmission, emission or reception of signals, signs, writings, images, sounds or intelligence of any nature, by wire, radio, visual or other electrical, electromagnetic or acoustically coupled means. Telecommunication facilities include equipment used for such modes of transmission as: telephone, telegraph, teletypewriter, data, facsimile, telephotography, video, audio, and such corollary items as distribution systems and communications security facilities (41 CFR Subpart 101-37.105-1).
  - b. Administrative Telecommunications. Administrative telecommunications include general purpose services, lines and equipment that are used to handle routine office communications and to accomplish day-to-day business. Acquisition and use of such facilities are subject to GSA Federal Property Management Regulations.

- c. Operational Telecommunications. Operational telecommunications include those lines, facilities and services that are used to support certain specified missions. Loss or degradation of these telecommunications systems could adversely affect mission success or safety of life and property. These operational telecommunications systems are exempt from GSA management under the FPMR.
- d. Federal Telecommunications System (FTS). The Federal Telecommunications System, operated by the General Services Administration, is a Government network providing administrative long distance communications services to all Federal civil agencies. All DOT elements have access to the FTS (DOT Order 1740.1A, Administrative Telephone Service and Equipment).

7. POLICY. It is the policy of the Department to:

- a. Foster competitive procurement of telecommunications systems, facilities and services whenever possible in order to obtain the maximum benefits at the lowest cost consistent with the provision of the required user service.
- b. Establish and maintain a telecommunications multi-year planning system consistent with the budget process stipulated by OMB Circular A-11, Preparation and Submission of Budget Estimates. The planning system should provide for time to obtain maximum competition in acquisition as stated in 7a.
- c. Optimize telecommunications facilities by providing the required level of service at least cost to the Department.
- d. Share or consolidate telecommunications facilities Department-wide consistent with maintaining the required level of service.
- e. Provide telecommunications programs and systems capable of supporting DOT emergency responsibilities and operations.
- f. Establish and maintain a system to: (1) review and certify billings for accuracy for FTS and commercial telecommunications services, and (2) ensure that these services are used only for official Government business.

8. RESPONSIBILITIES.

- a. The Assistant Secretary for Administration is the Single Official (P.L. 96-511) responsible for Department-wide telecommunications management.

Vertical line denotes change.

- (1) The Director of Information Systems and Telecommunications Policy will:
  - (a) Develop overall Departmental policy and guidelines for DOT telecommunications.
  - (b) Support the Assistant Secretary for Administration in exercising the Single Official Departmental telecommunications management responsibilities.
  - (c) In coordination with Secretarial Offices and the Operating Administrations, establish and maintain a multi-year plan for telecommunications, including both administrative and operational systems and facilities. Planning will be accomplished on a DOT-wide basis consistent with the five-year budget framework established by OMB Circular A-11. The planning process will forecast Departmental telecommunications requirements and expenditures. Annual planning direction and guidance will be provided to DOT elements in conjunction with the budget preparation and review cycle.
  - (d) Review and approve the individual multi-year plans (c) above, and develop a consolidated Departmental telecommunications plan.
  - (e) Review and approve each Secretarial Office and Operating Administration A-11 budget estimate submission. This will be an integral part of the subsequent preparation and submission to OMB and Congress of the annual consolidated Departmental A-11 budget estimates.
  - (f) Provide Departmental liaison with GSA to meet the requirements of FPMR 41 CFR 101-37.
  - (g) Coordinate and analyze telecommunications systems studies for new or improved major systems or services.
  - (h) Review and approve planned telecommunications system procurements requiring GSA approval in accordance with FPMR 41 CFR 101-37 to obtain procurement authority from GSA and redelegate authority to the Operating Administrations or the Office of Administrative Operations as appropriate.

- (i) Provide interface with and membership on national level and interagency telecommunications policy committees and groups including support of the National Security Council, the National Communications System, and the Interagency Telecommunications Committee.
  - (j) Provide or coordinate DOT-wide technical consulting services and maintain a current technical library for Information Resources Technology.
- (2) The Director of Administrative Operations will:
- (a) Implement Departmental telecommunications policy relating to the use of FTS and commercial telephone circuits and equipment for administrative purposes (as differentiated from circuits and equipment used for operational purposes).
  - (b) Provide administrative telephone and telecommunications services and facilities for OST, all Headquarters, and designated field elements of the Department.
  - (c) Provide analyses of administrative telephone systems for OST, all Headquarters, and designated field elements of the Department. For the entire Department, provide cost analyses and billing for use of the FTS system.
- b. Heads of Operating Administrations will:
- (1) Designate a single office to be responsible for all telecommunications management, administrative and operational, within their respective Operating Administrations.
  - (2) Develop and maintain a multi-year telecommunications plan that forecasts telecommunications requirements and expenditures.
  - (3) Develop the annual OMB Circular A-11 budget estimates for submission to the Assistant Secretary for Administration for review, approval and submission to OMB and the Congress. This will be accomplished in conjunction with the multi-year plan submission defined above in subparagraph b.(2).

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- (4) Develop a program to optimize use of circuits, systems, facilities and services in order to provide maximum capability at minimum cost.
  - (5) Consider shared use of existing or projected telecommunications capabilities within the respective Operating Administrations in lieu of initiating new systems.
  - (6) Consider shared use of the telecommunications capabilities of other Operating Administrations, wherever feasible, instead of initiating new systems.
  - (7) Establish and implement for telecommunications management an internal control system as prescribed by OMB Circular A-123.
  - (8) Participate as needed in national level and interagency telecommunications policy committees and groups including support of the National Security Council and the National Communications System.
  - (9) Establish and maintain telecommunications programs and operational systems which provide the capability to effectively conduct assigned emergency activities.
- c. Secretarial Officers, where applicable, shall have management responsibilities, similar to those outlined in subparagraph b., with regard to their own telecommunications resources.

## 9. IMPLEMENTING DOCUMENTS.

- a. Those Secretarial Officers and Operating Administration Officials responsible for implementing programs shall forward two copies of the directives implementing Departmental telecommunications management policies to the Director of Information Systems and Telecommunications Policy, M-30, within 180 days of publication of this Order, and shall also submit revised and supplemental directives when issued.
- b. Those Secretarial Officers and Operating Administration Officials responsible for implementing programs shall forward two copies of the directives implementing OMB Circular A-123 in the area of telecommunications management to the Director of Information Systems and Telecommunications Policy, within 180 days of publication of this Order, and shall also submit revised and supplemental directives when issued.

FOR THE SECRETARY OF TRANSPORTATION:



Robert L. Fairman  
Assistant Secretary  
for Administration

## APPENDIX A

### References

1. Freedom of Information Act, 5 U.S.C. Section 552.
2. Privacy Act, 5 U.S.C. Section 552a.
3. OMB Circular A-76, Policies for Acquiring Commercial Procedures and Services for Government Use.
4. OMB Circular A-94, Discount Rates to be Used in Evaluating Time Distributed Costs and Benefits.
5. OMB Circular A-109, Major Systems Acquisition.

### Regulations and Policies

1. P.L. 89-306, ("Brooks Act"), 40 U.S.C. 759.
2. P.L. 96-511, Paperwork Reduction Act of 1980, 44 U.S.C. Sections 3501-3520.
3. OMB Circular A-11, Preparation and Submission of Budget Estimates.
4. OMB Circular A-71, Responsibilities for the Administration and Management of ADP Activities.
5. OMB Circular A-90, Cooperating with State and Local Governments to Coordinate and Improve Information Systems.
6. Federal Property and Administrative Act of 1949 (63 Stat. 377) Title 1, as amended by P.L. 89-306, Automatic Data Processing, which covers standards and related procedures for systems procurement and management.
7. Federal Property Management Regulations, 41 CFR Chapter 1, provides procedures and controls for the procurement of equipment and services.