



**U.S. Department of
Transportation**

Office of the Secretary
of Transportation

ORDER

DOT 4410.4

1-28-92

Subject: EQUIPMENT MANAGEMENT AND CONTROL

1. PURPOSE. This Order contains Department of Transportation (DOT) policy for the management, accountability, control, utilization, and disposal of Government-owned, leased, and/or borrowed equipment. It implements and supplements the Federal Property Management Regulations.
2. CANCELLATIONS.
 - a. DOT 4000.4A, Department of Transportation Utilization of Department of Defense Sources of Supply, of 6-12-78.
 - b. DOT 4000.5C, Reporting of Excess and Surplus Personal Property Transactions, of 8-11-88.
 - c. DOT 4000.6B, Reassignment of Excess Automatic Data Processing Equipment, of 7-10-84.
 - d. DOT 4410.1, Survey of Lost, Damaged, or Destroyed Government Personal Property, of 11-20-75.
 - e. DOT 4410.2, Exchange/Sale of Personal Property, of 1-10-77.
 - f. DOT 4430.1, Accountability and Control of In-Use Accountable Personal Property, of 6-21-77.
 - g. DOT 4430.2B, Management of Office Furniture, of 10-15-85.
 - h. DOT 4430.5, Recovery and Utilization of Precious Metals, of 7-25-83.
 - i. DOT 4600.1E, Redistribution of Excess Personal Property, of 4-12-82.
 - j. DOT 4600.2A, Federal Property Management Regulations, of 1-28-77.
3. SCOPE. This Order and the supporting Equipment Management and Control Handbook, DOT H 4410.4, apply to Secretarial Offices and the Operating Administrations. They are the single authority for the management, accountability, control,

utilization, and disposal of all Government-owned, leased, and/or borrowed equipment obtained for and used within the Department. They are not applicable to equipment for which a contractor is responsible and accountable unless specifically referenced.

4. REFERENCES. A statement of purpose for each of the following references is contained in Chapter 1, Section 2, Equipment Management and Control Handbook, DOT H 4410.4.
 - a. The Federal Property Management Regulations (FPMR), 41 CFR 101.
 - b. Title 18 U.S.C., Section 641.
 - c. The Federal Information Resources Management Regulation (FIRMR), Chapter 201.
 - d. DOT 1100.60A, Department of Transportation Organization Manual, of 11-14-88.
 - e. DOT 1320.18, Issuances of Other Federal Agencies Applicable to the Department of Transportation, of 8-8-72.
 - f. DOT 1600.26A, Department of Transportation Physical Security Program, of 7-25-90.
 - g. DOT 2700.8A, Accounting Principles and Standards, of 6-13-78.
 - h. DOT 2700.12, Financial Management Control of Property, of 8-2-77.
 - i. DOT 5100.4B, Department of Transportation Management Control Systems, of 4-16-91.
 - j. Department of Transportation Acquisition Regulation (TAR), issued as Chapter 12, Title 48, the Federal Acquisition System.
5. DEFINITIONS. Definitions and terms appropriate to this Order are contained in Appendix A, Glossary of Terms, Equipment Management and Control Handbook, DOT H 4410.4.
6. RESPONSIBILITIES. An expansion of the following responsibilities is contained in the Equipment Management and Control Handbook, DOT H 4410.4.

- a. Heads of Departmental elements have an inherent responsibility to manage all property under their jurisdiction. Specifically, they are responsible for:
 - (1) The effective administration and maintenance of an accountability and control system that encompasses all equipment within the element. The control system shall be consistent with the requirements of this Order and the Equipment Management and Control Handbook and shall be uniformly applied to each accountable area within the element.
 - (2) The establishment of a Management Control System that ensures management's accountability at each echelon and provides optimum protection against fraud, waste, misuse, and abuse of Government property during the receipt, use, movement, maintenance, and disposal of equipment.
- b. Property Officers are responsible for ensuring:
 - (1) The administration and maintenance of an effective equipment accountability and control system within the accountable area for which they have been designated Property Officer.
 - (2) The designation of custodial areas within the accountable area and ensuring that a Property Custodian for each area is designated and trained.
 - (3) That physical inventories are taken in accordance with guidance provided in Chapter 3 of the Equipment Management and Control Handbook, DOT H 4410.4.
- c. Property Custodians are responsible for:
 - (1) Maintaining current custodial records for all accountable equipment that is within their assigned custodial area.
 - (2) Identifying and reporting to the Property Officer any equipment which is not required for use in the custodial area.
 - (3) Assisting in the taking of required physical inventories by ensuring that all equipment is physically located in the custodial area and is available for the inventory team to examine. If

equipment is not available during the time of the physical inventory, the Property Custodian shall have valid documentation to account for the absence of the equipment.

- (4) Conducting a personal, physical inventory when deemed appropriate.
- d. Each individual DOT employee has responsibility for the following:
- (1) Using or authorizing the use of Government equipment for official purposes only.
 - (2) The proper use, care, and protection of Government equipment entrusted to them.
 - (3) Ensuring that missing Government equipment is promptly reported to the Property Custodian and the Security Office.
 - (4) Supporting the Property Custodian by ensuring that he/she is advised when equipment is moved out of the custodial area.

7. ACCOUNTABILITY

- a. The accountable area concept for controlling equipment is prescribed for application throughout the Department. Chapter 3, Section 1, of the Equipment Management and Control Handbook, DOT H 4410.4, provides the structure of accountable areas within the Department. When a Departmental element determines that a change to the structure is necessary, the Assistant Secretary for Administration (ATTN: M-44) shall be provided written notification of the change. Within the accountable area, the Departmental element's Property Officer shall designate custodial areas.
- b. Equipment records are required for equipment meeting the following criteria.
 - (1) Meets the capitalization criteria outlined in DOT 2700.12, Financial Management Control of Property.
 - (2) Is included in the sensitive items list in Chapter 3 of the Equipment Management and Control Handbook, DOT H 4410.4.

- (3) Is borrowed or leased.
 - (4) Has an acquisition cost of \$1,000 or greater.
- c. Physical Inventories shall be conducted to validate the official equipment record and need to be a part of the Management Control System. The Property Officer or any other accounting official, i.e. Property Custodian, shall not singularly conduct the actual physical inventory.
- d. Reports are necessary to provide managers with indicators of status, success, and/or weaknesses in the property management program. Reports outlined in Chapter 1 of the Equipment Management and Control Handbook, DOT H 4410.4, shall be submitted as outlined.
8. DEVIATIONS. Deviations from the Federal Property Management Regulations, this Order, and the Handbook should be processed only when considered essential to effective management or where special circumstances make such deviation necessary in the best interest of the Department. Requests for deviation shall state clearly the nature of the required deviation and the circumstances justifying the deviation. All requests must be submitted to the Assistant Secretary for Administration (ATTN: M-44) in accordance with guidance provided in Chapter 1 of the Equipment Management and Control Handbook, DOT H 4410.4.
9. MAJOR DIFFERENCES BETWEEN THIS ORDER AND ORDERS CANCELED.
- a. In addition to canceling the specific Orders enumerated in paragraph 2, this Order and the Equipment Management and Control Handbook, DOT H 4410.4, deal with the sequential life cycle management of equipment. Together they address: (1) the applicable statutory provisions and the Federal Property Management Regulation System; (2) a synopsis of the requirements determination, validation of the requirement, and source prerequisites; (3) the control process for documenting accountability for receipt, movement, and control; and (4) the redistribution, storage, and ultimate disposal of equipment.
 - b. To strengthen accountability and control, additional reporting requirements have been included to capture data on physical inventory results and Report of Survey activity. A consolidated, chronological Reports Calendar is included in the Equipment Management and Control Handbook, DOT H 4410.4.

- c. Responsibilities of individuals for each functional area at each level of management are identified.
 - d. Approval levels for system furniture acquisitions, changed earlier by interim correspondence, are included.
 - e. Criteria for specific property record keeping requirements have been established.
 - f. Accountability requirements for missing, lost, damaged, and/or destroyed equipment have been strengthened and clarified.
 - g. Explanation of abandon/destruction procedures have been clarified and strengthened.
 - h. The precious metals recovery program has been updated.
10. IMPLEMENTATION. The policy and responsibilities set forth in this Order and the procedural requirements contained in the Equipment Management and Control Handbook, DOT H 4410.4 are for uniform application throughout the Department. Taking into account the organizational structure and associated assignment of management responsibilities within the Departmental element, each Departmental element shall within six months of the date of this Order prescribe such detailed procedures as necessary to implement these documents. A copy of implementing guidance shall be provided to the Office of Administrative Services and Property Management (ATTN: M-44).

FOR THE SECRETARY OF TRANSPORTATION:



Melissa J. Allen
For the Assistant Secretary
for Administration

Equipment Management and Control

*Office of Administrative Services and Property Management
Office of the Assistant Secretary for Administration
Office of the Secretary*

January 28, 1992



**U.S. Department of
Transportation**

FOREWORD

This Handbook expands and provides procedural and instructional guidance to Departmental managers and supervisors for the management and control of equipment used by Department of Transportation personnel.

It supplements the policy contained in DOT Order 4410.4, Equipment Management and Control, dated January 28, 1992.

The Handbook contains guidelines for: determining equipment needs; sources for meeting the need; establishing a system for equipment accountability; documenting receipt, movement, location, and reutilization of equipment; and the ultimate disposal of equipment.

The Office of Administrative Services and Property Management, Office of the Secretary, will review the Handbook annually and revise it as needed to ensure that it continues to provide current and relevant information. We appreciate your input in establishing this Handbook and welcome your suggestions for improving its content and usefulness. Suggestions should be forwarded to the Personal Property Division (M-442) for consideration.

Copies of this Handbook are available from the Office of Administrative Services and Property Management, Utilization and Storage Section (M-443.2).

EQUIPMENT MANAGEMENT AND CONTROL HANDBOOK

DOT H 4410.4

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CHAPTER 1

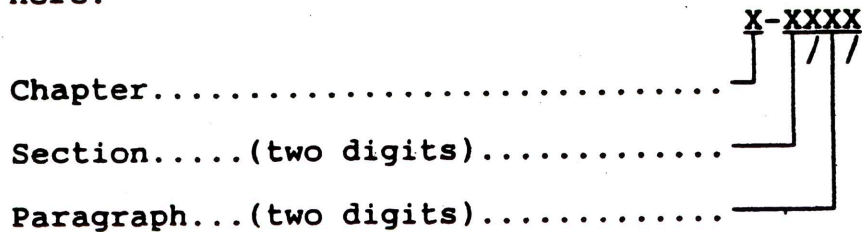
EQUIPMENT MANAGEMENT AND CONTROL: AN OVERVIEW

SECTION 1. SCOPE

1-0101. **PURPOSE.** This Handbook expands the policy contained in DOT 4410.4 and should be used as a guide in the implementation of the policy as promulgated in that Order for the management, accountability, control, utilization, and disposal of Government-owned, leased, and/or borrowed equipment obtained for and used within the Department. It does not apply to equipment for which a contractor is responsible and accountable. That equipment is addressed in the Transportation Acquisition Regulation (Chapter 12, Title 48, of the Federal Acquisition Regulations System). This Handbook and the Order should be used in conjunction with the Federal Property Management Regulations (Title 41, Code of Federal Regulations, Chapter 101) which they implement and supplement. They are prescribed by the Assistant Secretary for Administration as delegated by the Secretary under the authority of 5 U.S.C. 301 and Section 205(c), Federal Property and Administrative Services Act of 1949 (40 U.S.C. 486(c)), as amended.

1-0102. LAYOUT OF THE HANDBOOK.

- a. Page Identification. The pages are numbered serially within each chapter. Each page number is preceded by the number of the chapter. For example, the fifth page of Chapter 2 is numbered 2-5; the eighth page of Chapter 4 is numbered 4-8.
- b. Paragraph Identification. The paragraph numbering system provides for a 5-digit paragraph number as shown here.



Using this numbering system, Paragraph 4-0210 is the 10th paragraph in Section 2 of Chapter 4.

SECTION 2. FEDERAL PROPERTY MANAGEMENT REGULATION SYSTEM

- 1-0201. STATUTORY PROVISIONS. Information in this Handbook has been developed based upon existing laws, executive orders, and mandatory regulations of control agencies. The Federal Property and Administrative Services Act of 1949, Section 202(b) requires each executive agency to maintain adequate inventory controls and accountability systems for the property under its control (40 U.S.C. 483). Section 2 of Public Law 84-863, of August 1, 1956, imposes the requirement that the accounting system of each agency shall include adequate monetary property accounting records (31 U.S.C. 3512(a)). The Federal Managers' Financial Integrity Act of 1982 (FMFIA), Section 2 (31 U.S.C. 3512(b)) requires that administrative controls of each executive agency shall be established to provide reasonable assurances that funds, property, and other assets are safeguarded against waste, loss, unauthorized use, or misappropriation.
- 1-0202. GENERAL ACCOUNTING OFFICE (GAO) POLICY AND PROCEDURES MANUAL FOR GUIDANCE OF FEDERAL AGENCIES. The GAO Policy and Procedures Manual for Guidance of Federal Agencies provides Comptroller General guidance regarding accounting principles, standards, and related requirements for agencies to use in the development of their accounting systems and internal auditing programs. Title 2 of the GAO Manual includes standards for typical agency operations. Standard P40, among other things, applies to equipment and specifically outlines the capitalization criteria. Equipment that meets capitalization criteria must be included in the agency's financial management records.
- 1-0203. FEDERAL PROPERTY MANAGEMENT REGULATIONS (FPMR).
- a. The Federal Property Management Regulations (FPMR), 41 CFR 101, prescribe the Federal policies, procedures, and delegations of authority pertaining to the management of property and records. The FPMR is distributed in a bound format and a loose leaf format. Proposed changes are published in the Federal Register along with an appropriate comment period for agencies to review and provide their comments.
 - b. In the absence of a DOT directive, the FPMR are directly applicable to all Operating Administrations or Departmental elements. Provisions of the FPMR

shall not be deviated from except as authorized by specific DOT approval.

1-0204. DEVIATIONS FROM PROVISIONS OF THE FPMR.

- a. Deviations will be requested only when considered essential to effective management or where special circumstances make such deviation necessary in the best interest of the Department. Requests for deviation shall state clearly the nature of the required deviation and the circumstances justifying the deviation.
- b. Requests should be submitted to the Assistant Secretary for Administration (ATTN: M-44) and shall contain the following information:
 - (1) A statement of the deviation desired, to include specific paragraph number(s) of the FPMR.
 - (2) Reason the deviation is considered necessary.
 - (3) A statement as to whether the deviation has been requested previously and, if so, the status of the previous request.
 - (4) A description of the intended effect of the deviation.
 - (5) Period of time for which the deviation is requested.
 - (6) Other background information appropriate to explain and support the desired deviation.
- c. After review by the Department, the request for deviation will be forwarded to the General Services Administration (GSA) for appropriate action or returned to the requestor for additional information.

1-0205. OTHER REFERENCES.

- a. Title 18 U.S.C., Section 641, Protection of Government Property.
- b. Federal Information Resources Management Regulation (FIRMR), Chapter 201, Subchapter C, Management and Use of Federal Information Processing (FIP) Resources, which presents a life cycle view of FIP resources disposal.

- c. DOT 1100.60A, Department of Transportation Organization Manual, of 11-14-88, which establishes the organization, responsibilities, and functions of the Department.
- d. DOT 1320.18, Issuances of Other Federal Agencies Applicable to the Department of Transportation, of 8-8-72, which prescribes policy and procedures for implementation within the Department of the issuances of other Federal agencies.
- e. DOT 1600.26A, Department of Transportation Physical Security Program, of 7-25-90, which defines organizational relationships in the DOT physical security program and prescribes procedures for planning the physical security program.
- g. DOT 2700.8A, Accounting Principles and Standards, of 6-13-78, which establishes uniform accounting principles and standards for DOT.
- h. DOT 2700.12, Financial Management Control of Property, of 8-2-77, which prescribes policies and guidelines for financial accounting of personal property within DOT.
- i. DOT 5100.4B, Department of Transportation Management Control Systems, of 4-16-91, which establishes policies and standards to comply with the requirements of Section 2 of the Federal Managers' Financial Integrity Act (FMFIA) of 1982.
- j. Department of Transportation Acquisition Regulation (TAR), issued as Chapter 12, Title 48, the Federal Acquisition Regulations System, which establishes uniform acquisition policies and procedures within the Department.

SECTION 3. OFFICIAL USE OF GOVERNMENT EQUIPMENT

1-0301. OFFICIAL USE.

- a. No DOT employee shall use or authorize the use of Government property for other than official purposes. Each Departmental element shall maintain an effective personal property accountability and control system that is in accordance with the requirements of this Handbook.

- b. The following extract from Section 641 of Title 18, U.S.C. applies to all DOT all employees: "Whoever embezzles, steals, purloins, or knowingly converts to his use or the use of another, or without authority, sells, conveys, or disposes of any record, voucher, money, or thing of value of the United States or of any department or agency thereof, or any property made or being made under contract for the United States or any department or agency thereof;... Shall be fined not more than \$10,000 or imprisoned not more than ten years, or both; but if the value of such property does not exceed the sum of \$100, he shall be fined not more than \$1,000 or imprisoned not more than one year, or both."

SECTION 4. DELEGATIONS OF AUTHORITY AND INTERAGENCY AGREEMENTS

1-0401. DELEGATIONS AND AGREEMENTS.

- a. Delegations of Authority. Certain equipment management functions can be performed by an individual only under a specific grant of authority to that individual. Other functions may be performed simply on the basis of general instructions or directions or by virtue of an individual occupying the position to which the responsibility for the function is assigned. Generally, it is desirable to place authority and responsibility for and to exercise equipment actions at the lowest organizational unit practical. Delegations should be confirmed in writing and as a minimum should be included in the position description of the individual or position concerned.
- b. Interagency Support Agreements.
- (1) Interservice Support Agreement, of 1-2-90, between the Defense Reutilization and Marketing Service (DRMS-O) and DOT, Interagency Support for the Recovery of Silver, Gold, and Other Precious Metals, which provides for logistical support services in the recovery of precious metals.
 - (2) Department of Defense as a Source of Supply, as specified in FPMR 101-26.600.

SECTION 5. REPORTS1-0501. REPORTING REQUIREMENTS.

- a. Reports are an integral part of equipment management. They provide managers with indicators of the status, success, and/or weaknesses in the program. Unless otherwise directed the reports summarized in Paragraph 1-0502 of this Handbook shall be prepared and forwarded for receipt by the Chief, Personal Property Division (M-44) no later than the "Departmental Due Date" noted.
- b. Consolidated Departmental reporting, as required by the Federal Property Management Regulations, shall be accomplished by a single submission from the Chief, Personal Property Division (M-44), using as a base, the reports submitted in accordance with Paragraph 1-0502.

1-0502. CHRONOLOGICAL LISTING OF RECURRING REPORTS.

Reports Calendar

Departmental Due Date	Report Title	Reference	Frequency Period
Nov 15	Report of Survey Activity	Para. 3-0607	Annual
Dec 1	Physical Inventory Value	Para. 3-0403	Annual
Dec 15	Summary Report of Personal Property Exchange or Sale Transactions	Para. 4-0308/ FPMR 101-46.305	Annual
Nov 15	Utilization and Disposal of Excess and Surplus Personal Property	Para. 4-0603/ FPMR 101-43.4701(a)	Annual
Dec 15	Report of Personal Property Provided to Non-Federal Recipients	FPMR 101-43.4701(c)	Annual

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CHAPTER 2

DETERMINATION OF EQUIPMENT REQUIREMENTS, VALIDATIONS, AND SOURCES OF SUPPLY FOR FILLING ESTABLISHED REQUIREMENTSSECTION 1. FORECASTING EQUIPMENT REQUIREMENTS

2-0101. Role of the Property Officer. Considering the value of the equipment that is used in meeting the needs of the many and varied Departmental programs, the responsibility for the control and use of equipment as a resource is first and foremost a general management assignment. Although each manager is directly accountable to the next higher management level of authority for the judicious acquisition, utilization, and disposal of equipment, the Property Officer is the key player in assuring that each life-cycle phase is carefully managed and effective equipment accountability is formally carried out. Nowhere is this more evident than in the initial phase of equipment management, i.e., the determination of equipment requirements. In the process of forecasting the needs that will be necessary to support any given program, the Property Officer must work as a team member with each Program Manager. Without the necessary equipment and effective control thereof, the skills of the program staff is depreciated and the program's ultimate success is jeopardized.

SECTION 2. USE STANDARDS

2-0201. Development and Employment of Use Standards. Among the management responsibilities of Property Officers is the necessity to develop viable Use Standards for application throughout the organization. Use Standards are tools used by management to obtain, at all levels of operation, the best balance between equipment assets and equipment needs. Use Standards are criteria whereby a determination may be made as to when, and in what quantity, certain types of equipment are authorized for use. In addition to the Use Standards prescribed in FPMR 25.3, and others contained in this chapter, Departmental elements should, whenever practicable, develop Use Standards for equipment under their control.

2-0202. Use Standards for Office Furniture.

a. Level of Assignment. Office furniture shall be assigned to individuals in accordance with the Use Standards prescribed herein. Standards prescribed represent limitations; assignments at lower levels are permissible. All furniture should be assigned based upon program functional requirements and space allowances. These standards may not be appropriate where employees are located in work space such as laboratories, shops, warehouses, etc. Specialized furniture for use with Federal Information Processing (FIP) equipment, drafting tables, stools, and ergonomic chairs should be provided as needed. Individuals using furniture which exceeds the levels permitted here shall be permitted to retain such furniture unless it is considered inappropriate. The levels of furniture and its authorized use are as follows.

(1) Executive. The use of executive type office furniture shall be limited to personnel in the Senior Executive Service and above or their equivalent, including military rank, depending upon the functional position within the organization. This type includes all furniture items constructed of wood or comparable to, the traditional and modern furniture and related items covered by Federal Supply Schedule FSC Group 71, Parts IIA and IIC, including furniture offered through Federal Prison Industries (FPI). Specifically, FPI offers a Senior Executive Line of furniture constructed of solid hardwoods and hardwood veneers accepted with rich, high quality mahogany stain, hand rubbed finish and traditional solid brass drawer and door pulls. Sofas, coffee tables, easy chairs, and end tables should be used only when required.

(2) Middle Management. The use of middle management type furniture shall be limited to personnel in grades GS/GM-13 through 15 or their equivalent, including military rank. This type of furniture includes all furniture items constructed of wood or comparable to furniture items covered under Federal Supply Schedule FSC Group 71, Part II, Section B, including furniture items produced by Federal Prison Industries. Specifically, FPI offers the Allenwood oak or walnut style middle

management line of office furniture. These items are constructed of solid hardwoods and hardwood veneers and are accented with recessed brass and drawer pulls.

- (3) General. General office furniture shall be authorized for use by all personnel. This type of furniture includes all items of contemporary steel, general steel, and general wood office furniture listed in the GSA Supply Catalog, and comparable items including furniture items produced by FPI. Specifically, FPI offers the Centurion II line of general office furniture. Centurion II offers a range of furniture styles that will mix and match with any office environment. Features include contemporary styling, flexibility and internal wire management. Centurion II is available in plastic laminate finishes. All furniture should be assigned based upon functional requirements and space allowances.

- b. Assignment of Office Furniture to Staff Support Personnel. When it is determined that executive and middle management personnel are entitled to office furniture and furnishings on the basis of the criteria in Paragraph 2-0202a(1) and (2), similar or matching office furniture may be assigned to secretaries and staff assistants located in contiguous areas whose duties are in direct support of these personnel. Staff support managers shall be provided furniture commensurate with their work assignment and grade.

- 2-0203. Exceptions to Use Standards. The head of a Departmental element, or designee, may authorize exceptions to these Use Standards provided that such exceptions are in writing, include adequate justification, and are reviewed no less frequently than every 2 years. Approved exceptions shall be maintained as part of the Property Office official files.

SECTION 3. REPLACEMENT STANDARDS

- 2-0301. General. Effective and economical replacement of equipment requires the same coordinated planning and scheduling on the part of Program Officers and Property Officers as is required to establish the initial requirement. To ensure that funds are available for timely replacement of equipment, the Property Officers in each Departmental element along with the Program

Officers should develop and maintain a plan for the replacement of equipment. This plan will provide input for the budget process.

SECTION 4. VALIDATING THE REQUIREMENT

2-0401. The Validation Process.

- a. General. Requirements are normally generated to support a program change through expansion, change of direction, or increased emphasis of a specific aspect of the program. Validation of the requirement is an authenticated justification of the need for equipment. Generally, a requirement should be supported by a positive statement in each of the following categories; basis of need, utilization considerations, and other considerations. Use and Replacement Standards may not be used as the justification to acquire equipment, but may be used as a standard against which a requirement may be substantiated.
- b. Validating Furniture Requirements.
 - (1) Policy. Acquisition of new items of furniture shall be limited to those requirements considered absolutely essential and shall not include replacement to improve appearance, decor, status, or to satisfy a desire for the latest design or more expensive lines. When practical, new requirements shall be satisfied through the redistribution, repair, and/or rehabilitation of already owned items or by acquiring excess property from other Departmental elements or other Federal agencies. In addition to compliance with this paragraph, the acquisition of furniture shall be consistent with requirements contained in FPMR 101-25.104 and 101-26.505. To acquire furniture from other than General Services Administration sources, a waiver must be obtained in accordance with Paragraph 2-0503 and FPMR 101-26.100.2.
 - (2) Approval Process. Each procurement of new office furniture shall be approved by the head of the Departmental element or an authorized designee. When procurement of a furniture system is undertaken, or a planned project is over \$200,000, a cost justification such as outlined in FPMR Bulletin E-220 (October 25, 1991) shall be completed. Splitting orders or

sequential purchases for a single project to avoid the \$200,000 limitation is not authorized.

c. Special Requirements for Furniture Systems.

- (1) General. Because a furniture system may be substantially more expensive than conventional furniture, it may be procured only when it can be demonstrated that it is the most effective means of satisfying space and furniture requirements. Generally, acquisition can only be justified by significant space savings which offset the cost differential of the products. The saved space must be utilized in a constructive manner to obtain the desired cost benefits, e.g., release to another Departmental element or to a new activity. Space savings also occur whenever available space is substantially less than would be assigned under governing standards and the use of the furniture system alleviates the need to procure additional office space.
- (2) Project Planning and Evaluation. Projects involving a furniture system should be thoroughly planned and evaluated against conventional furniture alternatives. At a minimum, project planning should involve the following steps.
 - (a) Establish the requirement and coordinate with all affected activities; the project office, property management, space and facilities management, procurement, and budget offices, as appropriate.
 - (b) Evaluate all conventional furniture options including existing inventory, items available through reassignment or from excess, and conventional furniture lines available from the GSA supply program and Federal Supply Schedules.
 - (c) Obtain professional space planning and design services through use of either in-house resources, reimbursable planning agreements with GSA's Public Buildings Service staff, or private design firms (with a GSA waiver, if applicable).

- (d) Perform a thorough cost justification analysis following the format outlined in Paragraph 2-0401b(2).
 - (e) Each project shall include the following:
 - 1 A certification by the Departmental element's personal property manager that the proposal satisfies requirements governing the use, repair, rehabilitation, and disposal of property and that a furniture system is necessary.
 - 2 A certification by the Departmental element's space manager that all design considerations have been adequately reviewed and that acquisition of a furniture system would be the most cost effective and efficient space solution.
- (3) Approval for Furniture Projects. The heads of Departmental elements, and the Assistant Secretary for Administration for the Office of the Secretary, are authorized to approve proposals for furniture system requirements. Project approvals shall be as follows:
- (a) For projects under \$500,000, the head of a Departmental element may partially or wholly redelegate approval authority but not below the level of an office director at Headquarters or the head of a field office or equivalent.
 - (b) For projects \$500,000 and over, the head of a Departmental element may partially or wholly redelegate approval authority but not below the level of Associate Administrator.
 - (c) For projects costing \$1,000,000 and over an information copy of the project plan, cost comparison analysis, and approval signature shall be forwarded to the Assistant Secretary for Administration (ATTN: M-44) after final approval.

SECTION 5. SOURCES FROM WHICH TO FILL THE ESTABLISHED
REQUIREMENT

- 2-0501. Use of Program Funds. To obtain maximum benefit from program funds, only the equipment that contributes to the successful completion of the respective program shall be acquired with program funds. The provisions outlined in FPMR 101-26.103-1 shall apply.
- 2-0502. Priorities for Use of Supply Sources. The priorities outlined in FPMR 101-26.107 shall be utilized in filling requirements.
- 2-0503. Requests for Waivers. When requirements cannot be satisfied from assets on hand or from the GSA recommended sources, a waiver from the requirement to use the GSA sources shall be submitted in accordance with FPMR 101-26.100-2.
- 2-0504. Utilization of Department of Defense Supply Sources. Existing agreements between the General Services Administration and the Department of Defense, as promoted in FPMR 101-26.600, make the Defense Logistics Agency and the military Inventory Control Points viable sources of supply for civil agencies. It is the policy of this Department that all DOT activities shall utilize DOD sources of supply to the maximum extent possible under the provisions of the FPMR and consistent with economies and efficiencies of operation. Each Departmental element shall strive to avoid duplicate stocking or double handling of DOD supplied items when shipment can be made direct from the DOD source to the DOT user in an economical and timely manner.

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Chapter 3

THE ACCOUNTABILITY PROCESS FOR EQUIPMENTSECTION 1. ORGANIZATION FOR EQUIPMENT ACCOUNTABILITY

3-0101. Basis. The primary basis of accounting for equipment is to control and verify acquisitions; to document the cost to the program that is charged with its expense; and to manage the equipment efficiently and cost effectively. The accountability system provides a tool for use by managers at all levels for equipment utilization and control. The level and cost of accountability and the degree of control must at all times be tempered with the risk consequences and program impact if the equipment is missing lost, damaged, or destroyed.

3-0102. Responsibilities.

a. Heads of Departmental elements, as well as all managers have an inherent responsibility for the management of all property under their jurisdiction. These responsibilities are derived from the general authority pertaining to their organizational status or position, and are set forth in the Department's Organization Manual. Depending upon the scope of the activities involved, responsibilities will be carried out directly by the person in charge or through the assistance of a staff selected to perform these duties either on a full-time basis or in addition to other duties. The Heads of Departmental elements are responsible for ensuring:

(1) The effective administration and maintenance of an accountability and control system that encompasses all personal property within the element. The system shall be consistent with the requirements of this directive, and shall be uniformly applied to each accountable area within the element.

(2) That managers at each echelon are held accountable for the receipt, use, maintenance, and disposal of equipment provided or acquired by any means to support a program objective.

(3) The designation of Property Officers and Property Custodians.

- (4) The issuance of detailed operating procedures that provide optimum protection against fraud, waste, and abuse of Government property.
- (5) That periodic evaluations of the property management system are conducted for performance and effectiveness.

b. Property Officers are responsible for ensuring:

- (1) The administration and maintenance of an effective property accountability and control system within the accountable area for which they have been designated Property Officer.
- (2) The designation of, or acting as, the Accountable Officer.
- (3) The designation of custodial areas within the accountable area.
- (4) That a Property Custodian is designated, in writing, by the Program Managers for each custodial area.
- (5) The training of Property Custodians in the processes and procedures for equipment management; the Property Custodian interface, actions, and responsibilities with the Property Officer; and the interface of the property management role and the program.
- (6) That Property Custodians have current records of the equipment for which the custodians are responsible.
- (7) That physical inventories are taken in accordance with Section 4 of this Chapter.
- (8) That, with respect to capitalized property, the property and financial records are reconciled at least quarterly in accordance with DOT 2700.12.
- (9) That Reports of Survey for lost, damaged, or destroyed equipment are promptly prepared and processed in accordance with paragraph 3-0602 of this Handbook.

- (10) The conduct of periodic evaluations of the property management system for performance and effectiveness.

c. Property Custodians are responsible for:

- (1) Maintaining current custodial records for all accountable equipment that is within their assigned custodial area. Basically, the Property Custodian is the Program Manager's representative to maintain property records for a designated custodial area.
- (2) Initiating or processing, in accordance with Departmental element procedures, documents affecting the accountability or custody of equipment. Ensuring that all movement of accountable equipment into or out of the custodial area is documented, and that documentation is provided to the Property Officer. When accountable equipment is received in the Property Custodian's area prior to receipt by the Property Officer, the specific information outlined in Paragraph 3-0201d shall be provided to the Property Officer within 3 business days.
- (3) Continuing surveillance to ensure that equipment is given proper care and protection, and is used only for official purposes.
- (4) Ensuring that correct information is included and signing, when appropriate, form DOT F 1660.2, Property Removal Record.
- (5) Identifying and reporting to the Property Officer any equipment which is not required for use in the custodial area.
- (6) Ensuring that equipment that is determined to be missing, lost, allegedly stolen, or damaged (sufficiently to warrant a Report of Survey) is promptly reported to the Security Office.
- (7) Notifying the Property Officer when equipment is missing, lost, allegedly stolen, or damaged sufficiently to warrant a Report of Survey.

- (8) Assisting in the taking of required physical inventories, by ensuring that all equipment is physically located in the custodial area and is available for the inventory team to examine. If equipment is not available during the time of the physical inventory, the Property Custodian shall have on hand a valid document to account for the absence of the equipment.
- (9) Conducting a personal physical inventory when deemed appropriate.

d. Each DOT employee is responsible for:

- (1) The proper use, care, and protection of Government property entrusted to them.
- (2) Ensuring that Government property is used only in the conduct of official Government business.
- (3) Ensuring that Government property which is missing is promptly reported to the Property Custodian and the Security Office.
- (4) Supporting the Property Custodian by ensuring that the Property Custodian is advised when equipment is moved from one location to another.

3-0103. Structural Framework for Equipment Accountability.

a. The Accountable Area Concept. The "Accountable Area" concept for controlling accountable equipment is prescribed for application throughout the Department. This concept defines and documents diverse equipment control arrangements used by the Departmental elements. The application of this concept ensures that:

- (1) The accountability system encompasses all appropriate equipment.
- (2) All equipment requiring capitalization is recorded in the financial accounts.
- (3) Responsibilities for the accountability system are clearly assigned.
- (4) The composition, location, and maintenance of equipment records are identified.

- b. Designated Accountable Areas. This paragraph describes the structure of Accountable Areas currently established throughout the Department. This handbook requires no change in this structure, nor does it preclude a Departmental element from making subsequent changes. However, when changes are made, the Assistant Secretary for Administration (ATTN: M-44) shall be provided written notification of the change.

ACCOUNTABLE AREA STRUCTUREDepartmental ElementAccountable Areas

FAA

The entire element constitutes an accountable area for aircraft and installed avionics. For all other equipment each of the following organizational components is a separate accountable area:

- FAA Headquarters
- Each Region
- FAA Technical Center
- FAA Aeronautical Center

USCG

The entire element constitutes the accountable area for (1) aircraft and (2) vessels. For all other equipment, each of the following organizational components is a separate accountable area:

- Coast Guard Headquarters
- Each Headquarters Unit with a designated Property Officer
- Each Maint. & Logistics Command
- Each Maint. & Log. Cmd. Unit w/a designated Property Off.
- Each District Office
- Each Dist. Unit w/a designated Property Officer

FHWA

Each of the following organizational components is a separate accountable area:

- FHWA Headquarters
- Each Region

MARAD

- MARAD Headquarters including each Region and each Area Office
- Each National Defense Res. Fleet (NDRF) Site
- U.S. Merchant Marine Academy
- MARAD owned vessels in NRDF, including RRF
- MARAD owned vessels on loan
- Vessels in MARAD custody but owned by others
- Title XI vessels
- Shore based spares

FRA, FTA, NHTSA,
RSPA, SLSDC, OIG,
and OST (less OIG)

Each element in total is an accountable area

c. The Custodial Area - An Extension of the Accountable Area.

- (1) Determining the number of custodial areas that are appropriate for any given accountable area is left to the discretion of the Departmental element. However, a custodial area should not be so large as to make it impracticable for a single individual to effectively carry out the responsibilities of Property Custodian.
- (2) The environment of the Property Custodian is unique when compared with other positions of employment. Significant is the fact that the Property Custodian is normally a collateral duty, and the Property Custodian is an individual whose training and expertise is in some field other than property management. However, this individual is the connecting link, at the user level, between the program portion of the Departmental element and the property accountability and control portion. It is through the Property Custodian that the Property Officer works to assist in the requirements determination, the accountability process, the conduct of physical inventories, and the flow of documentation that is necessary for effective control of equipment needed to carry out the program.

SECTION 2. PROCEDURES AND CONTROLS

3-0201. Equipment Records.

- a. Equipment accountability must include appropriate procedures for keeping records of physical quantities of Government property, its acquisition cost, and its location. The property record should be designed to be of maximum assistance in
 - (1) filling the requirements for equipment;
 - (2) utilization of equipment including the identification of equipment that is no longer required; and
 - (3) recording its use, transfer, or disposal in accordance with Federal regulations.
- b. The basic requirement to be observed by all Departmental elements is that equipment meeting specific criteria shall be recorded in the formal property records.

- c. Formal property records shall be maintained for all equipment that:
- (1) Meets the capitalization criteria outlined in DOT 2700.12, of 8-2-77.
 - (2) Is included in the sensitive items list in paragraph 3-0202b or is determined by the Departmental element to be sensitive.
 - (3) Is borrowed or leased.
 - (4) Has an acquisition cost of \$1,000 or greater.
- d. Special requirements for FIP software.
- (1) In accordance with the GAO Policy and Procedures Manual for Guidance of Federal Agencies software valued at \$5,000 or more with a useful life of 2 years or greater shall be capitalized as equipment.
 - (2) Given the unique characteristics of proprietary software licenses and software sensitivity, the control and accountability of proprietary software licenses shall be maintained by the Information Resources Management programs of the Operating Administrations.
- e. As a general rule, equipment should be recorded on an individual item basis. No specific format or content is prescribed for the official property record; the record may be maintained on an automated system or may be maintained manually. However, as a minimum, the individual record shall contain the following data:
- (1) Item nomenclature, model number, serial number and manufacturer.
 - (2) Acquisition cost.
 - (3) Date of acquisition.
 - (4) Purchase Order Number, or Receiving Document Number.
 - (5) Location (as a minimum, the custodial area).
 - (6) Quantity.

- (7) Information required to support the financial accounts.
- f. When considered advantageous to do so (other than for capitalized equipment and Federal Information Processing equipment), records for some equipment may be maintained (1) as a group or (2) on a system basis. Under the group method, multiple quantities of an identical item of equipment may be recorded as a single record unit. The system method may be used when: (1) two or more individual items (equivalent components) are configured or utilized together in such a way as to become an integral part of an equipment system; and (2) the system is considered to be incomplete or inoperable with the absence of any one of its component equipment items. Under the system method, the entire system may be recorded as a single record unit. Care must be taken to ensure that individually accountable components are not lost in the unit or system. The method of maintaining records shall be specified in the internal property management procedures of each Departmental element.
- g. The official property records for equipment that is capitalized shall be reconciled with the financial accounts at least quarterly, as required by DOT 2700.12.

3-0202. Special Requirements for Sensitive Equipment.

- a. Some equipment, regardless of its acquisition cost, is by its nature subject to theft, loss, conversion to personal use, or for some other reason must be subject to more stringent controls than other equipment.
- b. The following items are considered sensitive, and shall be maintained on formal property records.

Accounting and Calculating Machines, Typewriters
 Federal Data Processing (FIP) Equipment
 Photographic equipment (Cameras and development
 equipment)
 Portable communications and telecommunications
 equipment
 Recorders, televisions, radios, phonographs, and
 other audio-visual equipment
 Test equipment and Optical Instruments
 Binoculars
 Weapons (firearms) and ammunition

- c. In keeping with sound management practices, there will be times when maintenance of individual records is not cost effective. Therefore, individual items of equipment costing less than \$100 at acquisition, regardless of sensitivity (except firearms and ammunition), are not required to be recorded in accountable property records and do not need to be subjected to formal accountability. However, when deemed appropriate for sound management reasons, the items may be recorded on group records.

3-0203. Accountability for Stored Equipment.

- a. Equipment that meets the criteria set forth in Paragraph 3-0201c that is stored, held in a warehouse, or held in a holding area, shall be recorded on formal property records.
- b. Items of furniture that are in storage shall be maintained on perpetual inventory records; each discrete line item of furniture will be recorded on a separate record. As a minimum, furniture records shall reflect item nomenclature, stock number, quantity, value, and location. All debit and credit transactions shall be documented and posted promptly to the records.

SECTION 3. THE ACCOUNTABILITY PROCESS

3-0301. Entry of Equipment into the Official Property Record.

- a. All receipts of equipment shall be documented; whether such equipment is acquired from Government or commercial sources, fabricated in Government shops, donated, recovered, seized, or obtained by transfer from another Government agency. Equipment received shall be recorded on a receiving report to provide a document to the accounts and records and to substantiate the expenditure. Property Officers shall establish formal property records for all accountable equipment (that meets the criteria in Paragraph 3-0201c) immediately upon receipt of the equipment.
- b. Procedures shall be established to ensure that signatures acknowledging receipt are obtained for all deliveries or movement of equipment to using individuals. Property Officers shall ensure that accountable equipment is assigned, for control purposes, to a designated Property Custodian and

that the formal property records reflect such assignment. Transfers of accountable equipment between Property Custodians shall be documented and posted promptly to the formal property record and to the appropriate custodian record.

- c. Each item of equipment entered into the property records shall be assigned to a Property Custodian.
- d. To assist Property Custodians in the control of equipment in their respective area, it is recommended that equipment be assigned to the using individual via Hand Receipt (DOT F 4420.4) or a similar form. In addition to facilitating the accountability of individual items, the Hand Receipt may be used for group control for all "like equipment" within an area and for controlling items for which formal records are not required.

3-0302. Use of Bar-Code Technology. Bar-code symbology is a method used to identify equipment and physical inventory locations. Bar-codes consist of rectangular bars and spaces arranged in a predetermined pattern to represent coded elements of data that can be automatically read and interpreted by automatic bar-code reading devices. The bar-codes are placed on labels which are attached to the equipment and physical inventory locations. Bar-coding for the equipment accounting application will greatly enhance the capability to monitor the movement of equipment and is an effective tool for use in the physical inventory process. For standardization purposes, the 3-of-9 bar-code (code 39 label) is a variable length, self-checking, bi-directional, discrete alphanumeric bar-code. It is the standard symbology used throughout the Government for use with all property accounting systems.

SECTION 4. PHYSICAL INVENTORIES

3-0401. Conduct. Physical inventories are necessary to validate the official property record and are part of the overall equipment management process. They are used to verify, (1) that equipment carried on the record is physically located in the custodial area where assigned; (2) that all accountable equipment is included on the property record; and (3) provide information on the utilization of equipment. The Property Officer, nor any other accounting official, i.e. Property Custodian, shall not singularly conduct the actual physical inventory. This is to ensure the separation of duties for internal

control purposes. This separation does not relieve the Property Officer and the Property Custodian from ensuring that equipment is centrally or conveniently located, identified, counted, and recorded during the physical inventory process.

3-0402. Frequency.

- a. Equipment that is capitalized shall be inventoried in accordance with DOT 2700.12. Results of the physical inventory shall be reconciled with the general ledger accounts and other subsidiary property records as soon as possible.
- b. Items that are considered sensitive, and in particular FIP equipment, shall be inventoried annually.
- c. Accountable equipment that is not capitalized shall be inventoried at a frequency commensurate with sound business practice as established by the Property Officer. As a minimum, this inventory shall be accomplished at least every 3 years.
- d. Regardless of the date of the previous inventory, each time there is an accountable officer (i.e., Property Officer, Property Custodian) change, a complete physical inventory of the entire equipment inventory list shall be performed for the entire area concerned. At this time, the new accountable person shall sign a statement that verifies the accuracy of the inventory list and accepts and assumes accountability for equipment in the designated area. The departing accountable person shall be held accountable for equipment that is not located until relieved by appropriate action.

3-0403. Reports. Each Departmental element shall submit a consolidated, annual report that will provide information on the beginning and ending fiscal year inventory value. The report, to be submitted to the Assistant Secretary for Administration (ATTN: M-44), shall include:

- a. The acquisition cost of the total inventory on hand at the beginning of the fiscal year.
- b. The total acquisition cost of items that could not be located in the areas inventoried.

- c. The total acquisition cost of items that are being processed under Report of Survey procedures.
- d. The acquisition cost of the total inventory on hand at the end of the fiscal year.

SECTION 5. PHYSICAL SECURITY FOR EQUIPMENT

3-0501. General. Requirements for physical security planning are set forth in DOT 1600.26A, Department of Transportation Physical Security Program. Program Managers, Property Officers, Property Custodians, and accountable persons shall ensure, in coordination with their servicing security element, that necessary actions are taken to physically protect the equipment for which they are responsible.

3-0502. Removal of Equipment from Buildings.

- a. Controls. To enhance the control of Government equipment and prevent the unauthorized removal of equipment from DOT buildings, the following is policy. Government equipment may be removed for official use only. Personal use of Government equipment is not authorized.
 - (1) At buildings where DOT is the sole or primary tenant and where entry/exit for the building is subject to guard coverage, the controls cited in Paragraph 3-0502b apply.
 - (2) At buildings where DOT is not the primary tenant, but where entry/exit is subject to guard coverage, the DOT elements shall consult with the primary tenant and/or GSA to establish controls. Controls shall be as stringent as those outlined in Paragraph 3-0502b.
 - (3) At buildings where entry/exit is not subject to guard coverage, controls shall be developed to ensure that equipment removal procedures meet the approval of the Property Officer and the Office of Security.
- b. Documentation of Controls.
 - (1) Each individual who removes an item of Government-owned equipment, leased or borrowed equipment, contractor-owned equipment, or personally-owned equipment shall present to the Security Guard a completed form DOT F 1660.2,

Property Removal Record (multicopy form to be completed in three copies).

- (a) DOT employees shall complete Parts A and B of DOT F 1660.2.
 - (b) Non-DOT employees shall complete Parts A and C of DOT F 1660.2.
- (2) The Security Guard at the exit point shall ensure that the DOT F 1660.2 is complete as prescribed in Paragraph 3-0502b.(1). The guard will verify that the equipment described in Part A matches the equipment being removed, i.e., nomenclature, make, model, serial number and/or bar code.
- (a) If the individual is a DOT employee, or on duty with DOT, and their identity is verified by a valid DOT identification (ID) card, the individual will be permitted to remove the equipment.
 - (b) If the individual is: (1) an employee or representative of a contractor, vendor, or supplier and is removing equipment which has been demonstrated or is being removed for maintenance, etc.; or (2) if the individual is an official visitor removing equipment pursuant to a visit, the guard will call the DOT office having knowledge of the action (preferably the Property Office) and obtain verification. Alternatively, the office having knowledge should have an employee accompany the individual to the guard office to verify the action. In this event, the DOT employee will use his/her DOT ID card for identification. If the guard cannot obtain verification of the action as provided above, the individual will not be permitted to remove the property without the express consent of the Office of Security.
 - (c) After the guard has verified the documentation as prescribed above, the guard will complete Part D of DOT F 1660.2. Copy number three of DOT F 1660.2

will be given to the person removing the equipment.

- (3) The original and copy number two of the completed DOT F 1660.2 shall be provided to the Security Office at the beginning of each duty day. In turn, the Security Office will immediately forward the original to the appropriate Property Custodian. The Property Custodian will advise the Property Officer of the removal. If the equipment was DOT-owned, controls shall be maintained to ensure that the equipment is returned. If the removal was not authorized the Office of Security will be notified immediately.
- (4) DOT personnel (e.g., photographers carrying camera equipment, accident investigators carrying specialized equipment, etc.) who have a continuing and routine need in the performance of their duties to carry Government-owned equipment from DOT buildings may be issued a Property Security Pass, DOT F 1660.3. These serially numbered forms may be issued for a period not to exceed 1 year, at the conclusion of which they will be revalidated and reissued, when appropriate.

- c. Forms Availability. DOT F 1660.2, Property Removal Record, can be obtained from the Office of Administrative Services and Property Management, Utilization and Storage Section (M-443.2). DOT F 1660.3, Property Security Pass, is issued by the Office of Security (M-70) to requesting Departmental elements.

SECTION 6. RELIEF FROM EQUIPMENT ACCOUNTABILITY

- 3-0601. General. An individual assigned an accountability role is relieved of accountability only upon acceptance of the accountability by a successor, or by some other process that provides documented authority to relieve the individual of accountability. When an item of equipment is removed from an accountable area because the equipment is no longer required, is excess, is to be disposed of by sale or donation, or other authorized means, it shall be listed on a transfer or disposal

document and made a part of the permanent property file. Lost, damaged, or destroyed equipment shall be documented by a Report of Survey in accordance with this section.

3-0602. Accounting for Lost, Damaged, or Destroyed Equipment.

a. When a Report of Survey is Required. A Report of Survey shall be conducted when Government equipment is lost, damaged, or destroyed, except as provided in Paragraph 3-0602b. It is the ultimate objective of each survey to determine:

- (1) Whether the loss, damage, or destruction was the result of gross negligence or willful intent.
- (2) Whether employee responsibility does or does not exist.

In those cases where it is determined that employee responsibility exists, consideration shall be given to subjecting the responsible individual(s) to pecuniary liability and/or disciplinary action.

b. A Report of Survey is not required for the following:

- (1) Loss, damage, or destruction of equipment having a unit acquisition cost of less than \$1,000, except for sensitive items where the threshold is \$100, unless the Property Officer or higher management authority determines or has reason to believe that neglect, misuse, theft, or fraud is a contributing factor in the case. In all cases where equipment is carried on the formal property record, a document shall be generated to support its removal from the record. The Report of Survey format may be used for this purpose as long as it is signed by a duly authorized approving official. In such cases, that portion of the Report of Survey form which cites the circumstances under which the loss/damage occurred shall be completed in detail by the Property Officer.
- (2) Inventory credit adjustments, when such adjustments have been properly certified to be the apparent result of inventory transaction processing discrepancies and there is no reason to suspect neglect, misuse, theft or fraud.

Again, the Report of Survey is the appropriate format for documenting the adjustment.

c. Roles and Responsibilities.

- (1) Individual Employees. Each employee is responsible for the proper use, care and protection of Government equipment in their possession, custody, or control. An employee may be held financially liable and may be subject to disciplinary action for the loss, damage, or destruction of equipment resulting from gross negligence, misuse, or willful destruction. It is the responsibility of each employee to immediately report lost, damaged, or destroyed equipment when such equipment was:
 - (a) Assigned to the employee's care.
 - (b) In the employee's possession.
 - (c) Otherwise under the employee's control.
- (2) Property Custodians will:
 - (a) Immediately initiate survey action for equipment within the assigned custodial area when such action is not initiated by an individual employee.
 - (b) Forward a Report of Survey initiated by individual employees to the Property Officer after reviewing for completeness and accuracy. The Property Custodian may attach a statement to the report if it is germane to the case.
 - (c) Update the custodial record or listing, as directed by the Property Officer, based upon the outcome of survey action.
- (3) Property Officers will:
 - (a) Ensure that Report of Survey action is initiated when appropriate.
 - (b) Assist in initial preparation of the report as necessary.

- (c) Ensure that the Report of Survey contains all information required for subsequent processing.
 - (d) Fully coordinate all matters involving financial considerations with the servicing financial accounting office, including determination of equipment values and actions affecting the equipment records or accounts.
 - (e) Assign a case number to each Report of Survey. Establish a case file for each report and maintain a record of all cases.
 - (f) Take action to remove the lost or destroyed equipment from the property record immediately upon approval of the case by the Approving Official.
 - (g) Forward a copy of the Report of Survey to the servicing Security Office for their assistance in locating the equipment and preventing recurrence.
 - (h) Refer cases to the Survey Officer or Survey Board as appropriate.
- (4) Survey Officer/Survey Board will:
- (a) Investigate circumstances surrounding the loss, damage, or destruction.
 - (b) Determine findings and make recommendations based on actual investigations and consideration of available information and evidence that is available.
 - (c) Prepare written findings and recommendations and refer the case to the Approving Official.
 - (d) Recommend action(s) to prevent recurrence of incidents of loss, damage, or destruction of property.

(5) Approving Official will:

- (a) Determine that the investigation performed by the Survey Officer/Board is adequate, and that the recommendations are clearly supported by the finding.
- (b) Approve the report or reject the report and return it for additional investigation.

3-0603. Designation of Survey Officer(s) and Survey Board(s).

Each Departmental element shall designate, either permanently or on an as-required basis, Survey Officer(s) and Survey Board(s). Designations shall be confirmed in writing, and will include name and position title. For Survey Boards, an individual shall be designated to serve as chairperson of the board. The Property Officer, the Property Custodian, the Approving Official, or the initiator of a Report of Survey cannot be appointed or serve as a Survey Officer or as a member of the Survey Board.

3-0604. Conduct of the Survey.

- a. When equipment is lost, damaged, or destroyed the Property Officer shall ensure that a Report of Survey is initiated.
- b. Upon receipt of the Report of Survey, the Property Officer will assign a number to it and establish a case file. The Property Officer will add comments to amplify the originator's statement and recommend referral of the case to a Survey Officer or Board. All Reports of Survey covering losses, destruction, or damages exceeding \$25,000 shall be referred to a Survey Board.
- c. In accordance with the responsibilities contained in paragraph 3-0602a(4), the Survey Officer/Board will fully investigate each report and will make written findings as to the facts surrounding the loss, damage, or destruction. All evidence, testimony, and other data considered during the investigation will be clearly documented. In some cases it may be appropriate to solicit advice from the General Counsel. After completion of the investigation, either a finding must be made clearing all personnel of responsibility, or a finding of employee responsibility will be made. The report shall

include a recommendation to impose pecuniary liability, disciplinary action, or both. An employee will not be held responsible for performing or failing to perform an action because of reasonable error in judgement or a normal physical limitation. Recommendations involving pecuniary liability must be based on acceptable evidence of willful intent or gross negligence on the part of the individual.

- d. The Report of Survey will be referred to the Approving Official upon completion of investigation. The Approving Official will either approve the findings and recommendations or direct further investigation by the Survey Board/Officer. Action will continue on a case until it is approved.
- e. Approved Reports of Survey, where there is no evidence to prove lack of employee responsibility, will be referred to the Property Officer and the case file will be closed. Reports of Survey which involve employee responsibility will be taken as prescribed in paragraph 3-0605.

3-0605. Findings.

- a. Upon completion of the investigation, a finding must be made by the Survey Board or Survey Officer. The finding will state specifically that all personnel are cleared of responsibility, or employee gross negligence or willful neglect has been found.
- b. When disciplinary action has been recommended and that recommendation is approved by the Approving Official, the matter will be referred through appropriate supervisory or command channels for disciplinary procedures. If pecuniary liability is not involved, the Property Officer will close the case file at this point.
- c. When pecuniary liability is recommended and approved, the following action will be taken:
 - (1) A written notification will be forwarded to the individual(s) concerned citing the approved survey findings. The notification will request voluntary restitution. The amount of the pecuniary liability will be determined jointly by the Property Officer and the Financial Accounting Officer as follows.

- (a) Lost, destroyed, or irreparably damaged equipment: The charge will be the original acquisition cost of the equipment less an allowance for depreciation. In the absence of a method which more accurately reflects the depreciated value of the equipment, the straight line method of computing depreciation may be used. Credit for scrap or salvage, if applicable, will also be allowed.
 - (b) Reparable equipment: The cost of restoring the equipment to a condition comparable to that at time of damage will be charged, provided such cost does not exceed the depreciated value of the equipment or replacement thereof.
- (2) If the individual(s) agree to make voluntary restitution, the case will be referred to the servicing accounting office for collection. The Property Officer will close the case file when notified by the Accounting Office that collection has been effected.
 - (3) If the individual(s) do not agree to make voluntary restitution, the Approving Official shall obtain a written opinion from the General Counsel or the appropriate Chief Counsel, as the case may be, with respect to asserting a claim against the employee(s). Further action on the case will be predicated on guidance received from Counsel.

3-0606. Report of Survey Format and Forms Availability. Forms presently used by Departmental elements for documenting Reports of Survey may continue to be used. A Departmental element that does not have a form for this purpose may adopt the sample shown in Appendix B. Forms are available from the Office of Administrative Services and Property Management, Utilization and Storage Section (M-443.2).

3-0607. Reports. Each Departmental element shall submit a report to the Assistant Secretary for Administration (ATTN: M-44) 30 days after the close of each fiscal year providing the following information:

- a. Number of Reports of Survey processed during the fiscal year and the total acquisition cost of equipment included on the processed Reports of Survey.

- b. Number of Reports of Survey and total acquisition cost in which all parties were relieved of any liability or responsibility for the loss, damage, or destruction.
- c. Number of Reports of Survey and total acquisition cost in which an individual(s) was(were) held pecuniary liable.

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4-0505. Reports Regarding Precious Metals Recovery.

- a. Waiver of Annual Requirement. Under the provisions of FPMR 101-45.1002-2, the Department has been granted a waiver to the annual reporting requirement as long as the Interservice Support Agreement with the Defense Reutilization and Marketing Service (DRMS) is kept current. Therefore, there is no requirement for Departmental elements to provide an annual report to the Department.
- b. Information Provided by DRMS. The Defense Reutilization and Marketing Service provides to the Department (ATTN: M-44) an annual report, by location, of the materials turned in by DOT activities.

SECTION 6. EQUIPMENT DISPOSAL AND REMOVAL FROM THE OFFICIAL PROPERTY RECORD

- 4-0601. General. Disposal is the culmination of all of the actions that provide documentation that will substantiate the removal of equipment from the official equipment records by transfer, sale, donation, abandonment, destruction, report of survey action, trade-in, or other authorized means. Disposal of excess equipment should be accomplished as expeditiously and economically as possible. Equipment that is dangerous to public health or safety should not be disposed of without making it harmless, providing adequate safeguards, or properly advising the recipient of the hazardous or dangerous nature of the equipment. Until final disposal action is taken, equipment that is declared to be excess is accounted for, controlled, maintained, and handled in the same manner as all other equipment carried on the equipment records.
- 4-0602. Documentation. Regardless of the method of disposal, i.e., transfer, donation, sale, abandonment or destruction, exchange, or trade in, the action shall be documented to support the removal of the equipment from the official property record.
- 4-0603. Reports. For Departmental management purposes and to meet requirements of the Federal Property Management Regulations 101-43.4701(a), an annual report shall be provided to the Office of the Assistant Secretary, (ATTN: M-44), not later than November 15 of each year.

The Annual Report - Utilization and Disposal of Excess and Surplus Personal Property, shall be completed utilizing form DOT F 4400.1. Instructions for collecting information on activity conducted during the last completed Fiscal Year are contained on the form. Reports shall be consolidated, specific elements of information extracted and reported to the General Services Administration by the Personal Property Division (M-44).

GLOSSARY OF TERMS

APPENDIX A

DEFINITIONS FOR USE IN PERSONAL PROPERTY MANAGEMENT

ACCOUNTABLE AREA - An area, defined by organizational or geographical limits, for which a discrete set of formal property accountability records is maintained under the jurisdiction of a designated Property Officer.

ACCOUNTABLE OFFICER - See PROPERTY ACCOUNTABLE OFFICER.

ACCOUNTABLE PROPERTY - A term used to identify Government property which is recorded in a formal personal property accounting system and is controlled by an identification system and supporting records from its acquisition through disposal.

ACCOUNTABLE PROPERTY RECORDS - Formal records of personal property which assign specific responsibility for control to an individual. Such records may control single items or aggregates of similar property.

ACCOUNTABILITY - The act of maintaining an account (record) for personal property by providing a complete audit trail for personal property transactions from receipt to final disposition.

ACQUIRE - To obtain ownership of property in any manner, including: purchase, transfer, donation, manufacture, construction, condemnation, or production at Government-owned plants or facilities.

ACQUISITION - The process of obtaining by any means, from any source, personal property to be used to satisfy the need to support a program.

APPROVING OFFICIAL - An individual who has final authority to approve findings and recommendations; normally used in the approval/disapproval of findings and recommendations of the Survey Officer or Survey Board on Reports of Survey for Lost, Damaged, or Destroyed Property.

ASSET - Any item of economic value owned by a Governmental unit.

AUTHORITY - The power to take actions or approve actions of others.

AUTOMATIC DATA PROCESSING EQUIPMENT (ADPE) - See FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT.

BOARD OF SURVEY - A committee or panel appointed by senior management officials, typically consisting of three or five members, charged with the responsibility for review or investigation of reported loss or damage of property, and fixing financial liability for such loss; and authorization for removal of items from the official property records. A "Survey Officer" may be appointed in lieu of a board when the value of the property warrants.

CAPITALIZATION - A financial management term that describes the function of recording the total acquisition cost of an item in the general ledger of an agency's financial accounts in order to accurately reflect the agency's investment in the asset.

CAPITALIZED PERSONAL PROPERTY - All property with an initial acquisition cost at or above the criteria established by the GAO in Title 2 of its Policy and Procedures Manual for Guidance of Federal Agencies, which is recorded in the general ledger of the financial management accounts. An agency may select a lower capitalization level than that established by GAO.

COMPONENT - A major program, administrative activity, organization, or functional subdivision of a Secretarial Office or Operating Administration.

CONSUMABLE ITEM - See Expendable Property

CONTRACTOR - A private person, organization, agency, or firm who agrees to provide supplies and/or service during an agreed-to time period for a stated price or rate.

CONTRACTOR INVENTORY - Property furnished to, or acquired by, and in the possession of a contractor, pursuant to the terms of a contract, in which title is vested in the Government.

CONTROL - The ongoing function of maintaining physical oversight and surveillance of personal property throughout its life cycle using various management tools and techniques.

CONVENTIONAL OFFICE FURNITURE - An assemblage which consists of independent, stand alone work surfaces, storage units, chairs and other items except those items specifically defined as a furniture system. Automatic data processing support and modular furniture product lines are considered to be conventional office furniture.

CROSS-SERVICING - The provision of services by one agency for another agency. Such services are covered by a written agreement made between the two agencies.

CUSTODIAL AREA - A subdivision of an accountable area, defined by organizational or geographical limits, for which a personal property custodian has been designated.

DELEGATION OF AUTHORITY - The specific formal deputation, assignment, or commitment of a legal power or right to take certain actions and to make certain decisions.

DEPRECIATION - Periodic bookkeeping or accounting entries made in the financial records to reflect decreases in the value of property through age, wear, deterioration, or obsolescence.

DETERMINING AUTHORITY - The person in charge of an organization or area which is designated as an accountable area.

DEVIATION - Use of a standard, limitation, policy, procedure, or authority other than that prescribed by regulation.

DIRECT DELIVERY - Items which are delivered directly to the user after the property office has reviewed the receiving document for completeness and assigned a voucher number to it.

DISPOSAL - The actions involved in the removal of personal property from use and from the property accounting system.

DISPOSAL OFFICER - The person who is responsible for determining the appropriate disposition of personal property that is no longer needed by the organization to which it is assigned.

DISPOSAL TRANSACTION - The action or process that will result in the removal of personal property from official records by sale, transfer, donation, abandonment, destruction, trade in, or other authorized means.

EQUIPMENT - A term applied to an article of personal property which is complete in itself, is of durable nature with an expected services life of 1 year or more, and does not ordinarily lose its identity or become a component part of another article when put into use.

EXCESS PROPERTY - Property which is no longer required by the holding agency for its needs and the discharge of its responsibilities, as determined by the head of the agency, and has been reported to the General Services Administration.

EXCHANGE/SALE - The process by which personal property not excess to the needs of the holding agency, but eligible for replacement, is exchanged (trade-in) or sold with the application of the allowance or proceeds towards purchase of the replacement item.

EXPENDABLE PROPERTY - Personal property which is consumed in use or loses its identity when used, or becomes a component part of other personal property.

FEDERAL CATALOG SYSTEM - The system by which items are uniformly identified to facilitate management of all logistical operations from determination of requirements through disposal. Included are items subject to repetitive procurement, storage, distribution and issue, and all locally purchased, centrally managed items. The catalog system names, describes, identifies, classifies, and numbers all items which it contains.

FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT - Any equipment or interconnected system or subsystems of equipment in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or retrieval of data of information, and accessorial devices used in support of data processing.

Related FIP Equipment Terms Include -

ACOUSTIC COUPLER - See MODEM; MODEM, ACOUSTIC; and MODEM, RACK MOUNTED

CARD PUNCH - An output device which generates punched cards based upon input data or instructions. In some cases, a card punch can be included in a card reader unit.

CARD READER - An input device which reads coded data stored on punched cards.

CHANNEL - An inboard or outboard device which transfers data between a mainframe computer and peripheral devices. This device is also known as an Input/Output Processor.

DEGAUSSER - A device used to demagnetize magnetic tapes prior to reusing them for storing data.

CONTROL UNIT - A device which controls and provides access to peripheral devices such as disk and tape drives as directed from a computer.

DISK DRIVE - A stand alone data storage device, for either hard or floppy disk, removable or non-removable media.
Synonymous terms: mass storage device, direct access storage device, removable or fixed disk pack.

FEDERAL INFORMATION PROCESSING (FIP) RESOURCES - Includes FIP equipment, software, servers, support services, maintenance, related supplies and systems.

MICROCOMPUTER - An item of automatic data processing equipment in which the processor and all other functional elements are included in one integrated component.

MICROCOMPUTER RESOURCES - A collective term which includes microcomputer equipment and proprietary software.

MODEM - A device for transmitting or receiving digital data over analog telephone lines (e.g., line driver, acoustic coupler).

MODEM, ACOUSTIC - A modem which uses a telephone as part of its integral configuration. Also called an acoustic coupler.

MODEM, RACK MOUNTED - A modem which is mounted on a rack (shelf) for ease of use.

MONITOR - A device containing a cathode ray tube (CRT), similar to a television, used only to receive/view data.

MULTIPLEXER - A device used for transmitting several messages simultaneously on the same circuit or channel.

PLOTTER - A device that takes digitized information from a computer and draws it into graphic display on paper via the use of ink pens.

PROCESSOR - The computing element of a mainframe or minicomputer. Synonymous term: Central Processing Unit (CPU). May contain other functional elements, e.g., random access memory, disk controllers.

PROPRIETARY SOFTWARE - Computer software that has been developed at private expense, is considered to be a trade secret, and is protected by law with restrictions that are fully described in the accompanying license, use, or sales agreement.

PRINTER - A device that receives information from a computer and converts it to hard copy print (e.g., ink jet, laser, in feed, single feed).

RAM - An acronym for **RANDOM ACCESS MEMORY** or that portion of a microprocessor from which software is extracted or data is held on a temporary basis.

SCANNER - A device used to read printed words, charts, etc., from paper and convert them to digitized information for computer storage.

SOFTWARE - Any software, including firmware, specifically designed to make use of and extend the capabilities of FIP equipment. Examples of FIP software, systems programs (e.g., control and library programs, assemblers, compilers, interpreters, utility programs, sort-merge program and maintenance programs); application programs; and commercially available programs (e.g., word processing, communications, graphics, file-management and data base management system software).

APPLICATION SOFTWARE - A series of instructions or statements in a form acceptable to a computer, designed to cause the computer to execute an operation or operations necessary to process requirements.

COMMON-USE SOFTWARE - Software that deals with applications common to many agencies, that would be useful to other agencies and is written in such a way that minor variations in requirements can be accommodated without significant programming effort.

SWITCH - A device that will allow different computer systems to share peripheral devices.

TAPE DRIVE - A stand alone cartridge, reel-to-reel, or cassette data storage device.

TERMINAL - A device, having a permanently connected keyboard, which is used to send and receive data from a computer.

VTAM Terminal - A terminal connected to an IBM mainframe.

TONS Terminal - A terminal linked to the TONS CCI minicomputer used to perform office functions such as typing, E-mail, etc.

WORD PROCESSOR - A device consisting of a keyboard, power supply/line drive modem, and monitor.

FEDERAL REGISTER - A publication issued daily except Saturdays, Sundays, and legal holidays which contains proposed, general, and permanent rules of all agencies of the Federal Government.

FEDERAL SUPPLY SCHEDULE - A contract entered into by the General Services Administration with a vendor from which ordering agencies submit purchase orders for specified products.

FEDSTRIP - An acronym for Federal Standard Requisitioning and Issue Procedures system. The system provides the basis for processing civilian agency requisitions.

FRUSTRATED SHIPMENT - A shipment which cannot continue toward its destination, for any reason, and for which the consignee or requisitioning agency cannot provide diversion instructions.

FURNITURE SYSTEM - An assemblage or combination of office furniture components that form a complex or unitary whole, i.e., a series of work stations. Components may consist totally of systems furniture, modular furniture, conventional furniture, or a combination thereof.

GENERAL LEDGER - A fiscal record maintained by the finance and accounting office which is comprised of several control accounts that reflect the dollar values of assets on hand. The general ledger is the primary record against which all property records are balanced.

GSA STOCK ITEM - An item of property which GSA procures based on projected requirements of all Federal agencies, stores in bulk quantities, and distributes upon receipt of requisitions.

HOLDING AGENCY - The executive agency which has accountability for the personal property involved.

IN USE ACCOUNTABLE PERSONAL PROPERTY - Nonexpendable personal property assigned to a custodial area which is serving its intended operational purpose and for which accountable records and controls should be maintained.

INTERSERVICE SUPPORT AGREEMENT - An agreement between two agencies wherein one agrees to perform certain services for the other.

INVENTORY ADJUSTMENT - Changes made to the official property records when physical counts and official records do not agree. All such changes require specific approvals.

INVENTORY (noun) - The formal listing (property record) of all personal property assigned to an organization.

INVENTORY (verb) - The act of locating, identifying, counting, recording items and reconciling the differences in the physical count with the official property record.

LIFE EXPECTANCY - The number of years that an item of equipment can be anticipated to provide useful service when properly maintained in use.

LINE ITEM - A single line entry on a reporting form which indicates a specific type of equipment having the same description.

MATERIAL - Any item necessary for the equipment, maintenance, operation, and support of a project/activity without distinction regarding its use for administrative or operational purposes.

MICROCOMPUTER - See MICROCOMPUTER under FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT related terms.

MICROCOMPUTER RESOURCES - See MICROCOMPUTER RESOURCES under FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT related terms.

MILSTRIP - An acronym for Military Standard Requisitioning and Issue Procedures system. The system provides the basis for processing requisitions within the military structure.

MODEM - See MODEM under FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT related terms.

MODULAR FURNITURE - Office furniture which consists of interconnecting panel assemblies, however, uses free standing work surfaces, storage units, and other major components rather than units attached to the interconnecting panels.

MONITOR - See MONITOR under FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT related terms.

MUSEUM PROPERTY - An assemblage of museum objects collected according to a rational scheme and maintained so they can be preserved, studied, or interpreted for public benefit. Museum objects include prehistoric and historic objects, artifacts, works of art, archival documents, and natural history specimens that are a part of museum collections. Elements, fragments and components of structures are objects if they are no longer a part of the original structure. Museum property does not include those items necessary to display a collection such as exhibit cases, dioramas, special lighting, graphics, replicas, etc.

NEGLECT and NEGLIGENCE - Includes both simple negligence and gross negligence. Simple negligence is the failure or omission to observe, for the protection of Government interests, that degree of care, precaution and vigilance which the circumstances justly demand, whereby the Government suffers through loss, damage, or destruction of property. Gross negligence is an act or omission of the employee(s) which constitutes misconduct, willful negligence, or a wanton and reckless disregard for the property.

NONEXPENDABLE PERSONAL PROPERTY - Property which has a normal life expectancy of more than 1 year, has continuing use as a self-contained unit, is not consumed in use, does not lose its identity when put to use, or does not ordinarily become a non-severable component of other property.

NON-CAPITALIZED PERSONAL PROPERTY - All Government-owned personal property that does not meet the GAO or the holding agency's established criteria for capitalization into the general ledger of the agency's financial management account.

NON-REPORTABLE EXCESS PERSONAL PROPERTY - Property which is not required to be formally reported to the General Services Administration (GSA) for Federal redistribution screening. See additional screening in FPMR 101-43.305. See EXCESS PROPERTY.

OFFICE FURNITURE - Items of supply classified under Federal Supply Class (FSC) 7110 of the Federal Catalog System. (Also see Conventional Office Furniture, Modular Furniture, Systems Furniture, and Furniture System.)

PECUNIARY LIABILITY - Responsibility of an individual to pay for an item of equipment or supply.

PERSONAL PROPERTY - Any property, except real property, records of the Federal Government, and naval vessels of the following categories: battleships, cruisers, aircraft carriers, destroyers, and submarines.

PERSONAL PROPERTY ACCOUNTABILITY AND CONTROL SYSTEM - A general term that applies to all the processes, records, and documents used to achieve the objective of management.

PERSONAL PROPERTY MANAGEMENT - All functions necessary for the proper determination of need, source, acquisition, receipt, accountability, utilization, maintenance, rehabilitation, storage, distribution, and disposal of personal property.

PERSONAL PROPERTY MANAGEMENT SYSTEM - A concept or means for controlling and accounting for personal property for which the Government is responsible.

PHYSICAL INVENTORY - A periodic physical count of personal property that is actually on hand and the comparison of those counts with the applicable property records.

PLOTTER - See PLOTTER under FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT related terms.

PRINTER - See PRINTER under FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT related terms.

PROGRAM MANAGER - The individual responsible for overseeing and controlling a function, component, project, etc., and may include research leaders, scientists, engineers, project officers, administrative officers and other individuals.

PROPERTY ACCOUNTABLE OFFICER - The person designated in writing who maintains the formal personal property account for a designated accountable area. Normally works for the Property Management Officer and may serve a dual role as the Property Management Officer.

PROPERTY ADMINISTRATOR - An authorized representative of the contracting officer assigned to administer the contract requirements and obligations relating to Government property.

PROPERTY CUSTODIAN - The person designated in writing, by name or organizational position, as being responsible for the control of the personal property within a specified custodial area.

PROPERTY CUSTODY OFFICER - See PROPERTY CUSTODIAN.

PROPERTY MANAGEMENT OFFICER - See PROPERTY OFFICER.

PROPERTY MANAGER - See PROPERTY OFFICER.

PROPERTY OFFICER - The person designated in writing, by name or organizational position, as being responsible for the management of a system of accountability and control for personal property within a specified organization.

PROPRIETARY SOFTWARE - See PROPRIETARY SOFTWARE under FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT related terms.

PURCHASE ORDER - An offer by the Government to buy certain supplies or non-personal services from commercial sources, upon specified terms and conditions, the aggregate amount of which does not exceed the small purchase limit.

PURCHASE REQUEST - A need expressed by a user and placed on the property manager for supplies, service, or equipment.

RECEIVING REPORT - A property accounting record which acknowledges receipt by the accountable individual of property or service from a vendor or other source.

"REPLACEMENT" STANDARDS - Factors that should be considered in making a decision to acquire new equipment.

REPORT OF SURVEY - A process used to examine facts, determine responsibility, and establish the extent of liability for the loss, damage, and/or destruction of Government property; to provide relief from responsibility and/or accountability; and to provide a document authorizing the removal of personal property from the formal account.

RECONCILIATION - The process of matching and adjusting property records for a specific item to all such records to bring them into full agreement and to assure that they accurately reflect the quantity, description, condition, location, property custodian, etc., of the item.

REHABILITATION - To restore to good operating condition.

REQUIREMENT - An established need which justifies the allocation of resources to achieve a capability to accomplish an objective or task which generated the need.

REPLACEMENT STANDARD - An established measurement of an item of equipment's performance and utility, the result of which determines whether a new item should be acquired to replace the one currently in use.

REPORTABLE EXCESS PROPERTY - Personal property which is required to be reported to the General Services Administration (GSA) for Federal redistribution screening as outlined in FPMR 101-43.304-1. See EXCESS PROPERTY.

RESPONSIBILITY - Being accountable (answerable) for all actions which are taken or fail to be taken within the scope of an individual's delegated authority.

RISK ASSESSMENT - A documented review by management of a component's degree of susceptibility to waste, loss, unauthorized use, or misappropriation and includes consideration of management controls.

SENSITIVE ITEM - Personal property, regardless of its acquisition cost, that by its nature is subject to theft, loss, conversion to personal use, or for some other reason must be subjected to more stringent controls than other property.

SERIAL-NUMBERED PROPERTY - Property which contains a unique identifying number affixed by the manufacturer.

SOFTWARE - See SOFTWARE under FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT related terms.

SPACE MANAGER - The person designated, by name or organizational position, who is responsible for coordinating the assignment and utilization of space for a specific organization.

SPECIFICATION - A detailed description of the essential and technical requirements of items, materials, or services.

SUPPLIES - Expendable personal property which is consumed in use.

SURPLUS PERSONAL PROPERTY - Any excess personal property that is not required for the needs and the discharge of the responsibilities of all Federal agencies, as determined by the Administrator of General Services.

SURVEY BOARD - See BOARD OF SURVEY.

SURVEY OFFICER - An individual designated by proper authority to investigate, report on, and make recommendations on the loss, damage to, or destruction of Government property.

SYSTEMS FURNITURE - Office furniture which consists of interconnecting panel assemblies together with work surfaces, storage units, and other major components which are panel supported in lieu of free standing.

UNREQUIRED PERSONAL PROPERTY - Property that is no longer needed by the organization to which it is assigned. Normally, has not been reported to the General Services Administration.

"USE" STANDARD - Guidelines established for determining in what quantity, when, and where items or categories of items are required.

USED PROPERTY - Property that was previously assigned to a Property Custodian or user or shows signs of normal wear and tear.

VALIDATION - Confirmation of approval that a request for supplies, services or equipment is based on the proper authority and is fully justified to be acquired.

EQUIPMENT MANAGEMENT FORMS AND FORMATS

APPENDIX B

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Report of Survey for Lost, Damaged, or Destroyed
Personal Property - DOT F 4410.6 (front) - - - -Page B-9

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Property Removal Record - DOT F 1660.2 - - - - -Page B-13

Personal Property Hand Receipt			
Property issued to: (Name/Telephone No.)		Date:	Location:
		Division or Branch:	
Quantity	Description of Item(s)	Serial No. / Bar Code No.	Value
<p>Statement of Responsibility: I have received the item(s) listed above and accept personal responsibility for this property. As an employee of the Government to whom public property is entrusted, I clearly understand that: (1) I am responsible for the proper custody, care, and safeguarding of this property; (2) I am authorized to use the property for official purposes only; (3) I will either return the property to the issuing officer when no longer required for the purpose intended, transfer, or separation from the Government; and (4). If the property is lost, damaged or destroyed, I may be held financially liable and/or subject to discipline if the loss, damage or destruction resulted from my negligence, misuse, dishonesty or willful destruction.</p>			
Signature of User	Date of Issue	Property Custodian	Date Returned

 ANNUAL REPORT—UTILIZATION AND DISPOSAL OF EXCESS AND SURPLUS PERSONAL PROPERTY <small>U.S. Department of Transportation Office of the Secretary of Transportation</small>		REPORT FOR FY ENDING
DEPARTMENTAL ELEMENT		
DESCRIPTION		Acquisition Cost (Report Dollars Only)
D I S P O S I T I O N S	1. BEGINNING INVENTORY	
	2. ADJUSTMENTS	
	3. DETERMINED EXCESS BY REPORTING DEPARTMENTAL ELEMENT DURING THIS REPORTING PERIOD	
	4. TRANSFERRED BY REPORTING DEPARTMENTAL ELEMENT TO OTHER DEPARTMENTAL ELEMENTS	
	5. TRANSFERRED DIRECTLY BY REPORTING DEPARTMENTAL ELEMENT TO OTHER FEDERAL AGENCIES FOR UTILIZATION	
	6. TRANSFERRED BY REPORTING DEPARTMENTAL ELEMENT TO GSA FOR PROCESSING	
	7. TRANSFERRED BY REPORTING DEPARTMENTAL ELEMENT TO OTHER FEDERAL AGENCIES FOR FURTHER PROCESSING (DO NOT INCLUDE TRANSFERS REPORTED ABOVE IN LINES 4 AND 5)	
	8. DECLARED SCRAP BY REPORTING DEPARTMENTAL ELEMENT	
	9. ABANDONED OR DESTROYED BY REPORTING DEPARTMENTAL ELEMENT	
	10. DONATED BY REPORTING DEPARTMENTAL ELEMENT (TOTAL)	
	a. TO PUBLIC BODIES	
	b. TO PUBLIC AIRPORTS	
	c. TO EDUCATIONAL, PUBLIC HEALTH, AND CIVIL DEFENSE	
d. TO OTHER		
11. SALES, OTHER THAN SCRAP, BY REPORTING DEPARTMENTAL ELEMENT		
12. SALES OF SCRAP BY REPORTING DEPARTMENTAL ELEMENT		
13. ENDING INVENTORY		
P R O C E E D S F R O M S A L E S	14. PROCEEDS FROM SALE OF PROPERTY OTHER THAN SCRAP (SOLD BY REPORTING DEPARTMENTAL ELEMENT OR ITS AGENT)	
	15. PROCEEDS FROM THE SALE OF SCRAP (SOLD BY REPORTING DEPARTMENTAL ELEMENT OR ITS AGENT)	
R E M A I N E R	16. PROPERTY REASSIGNED WITHIN REPORTING DEPARTMENTAL ELEMENT	
	17. ACQUISITION OF EXCESS PROPERTY BY REPORTING DEPARTMENTAL ELEMENT (DO NOT INCLUDE ACQUISITIONS FROM OTHER DEPARTMENTAL ELEMENTS)	
REMARKS:		
APPROVED		
TYPED NAME & TITLE OF APPROVING OFFICIAL	SIGNATURE	DATE

PREPARATION INSTRUCTIONS

- General:** Reports shall be completed on an annual basis by each Departmental element (Office of the Secretary and the operating administrations). Reports shall be submitted to the OST Office of Administrative Services and Property Management (Attn: M-44) not later than November 15 of each year. Entries shall reflect the acquisition cost of the property. If data on acquisition costs are not available, the estimated acquisition cost or the value at which the property is carried in inventory records for accounting purposes shall be used. Transactions involving grantee/contractor inventories and exchange/sale property shall be excluded from this report.
- Line 1-** Report the acquisition cost of all excess and surplus property on hand at the beginning of the reporting period. This should be the same amount reported as the ending inventory on last year's report.
- Line 2-** Report net gains (+) or losses (-) to the figure shown in Line 1 resulting from overages, shortages and corrections. Explain all net adjustments exceeding \$50,000 or 10% of Line 1 under Remarks.
- Line 3-** Report the total acquisition cost of all personal property determined to be excess to the needs of your Departmental element. Do not include property determined to be excess during the year but subsequently withdrawn for your use later in the same year.
- Line 4-** Report the acquisition cost of all property transferred by your Departmental element for use by other Departmental elements.
- Line 5-** Report the acquisition cost of all personal property transferred from your Departmental element directly to other Federal agencies for utilization under the provisions of FPMR 101-48.309-5(a).
- Line 6-** Report the acquisition cost of all property transferred to the General Services Administration (GSA) for further processing.
- Line 7-** Report the acquisition cost of all personal property transferred to another Federal agency for further processing. Do not include transfers to GSA for further processing or direct transfers to other Federal agencies for reutilization. Do not include property/materials transferred specifically under the precious metals recovery program.
- Line 8-** Report the acquisition cost of all personal property declared scrap. Do not include in this Line any transactions of scrap for further processing under the precious metals recovery program.
- Line 9-** Report the acquisition cost of all personal property abandoned or destroyed by your Departmental element.
- Line 10-** Report the acquisition cost of all personal property provided directly by your Departmental element to donees. On Line 10 include the total of all donations (Lines 10a + 10b + 10c + 10d). Do not include in Line 10 any donation transactions which resulted from property being reported to GSA and then donated by GSA. Statutory authority or other explanations for the donations included in Line 10d shall be cited in the Remarks section of this form.
- Line 11-** Report the acquisition cost of all surplus property, except scrap, sold by your Departmental element or agent during the reporting period.
- Line 12-** Report the acquisition cost of all items sold as scrap by your Departmental element during the reporting period.
- Line 13-** Report the acquisition cost of excess and surplus property on hand at the end of the reporting period. (Line 1 plus or minus Line 2 plus Line 3 minus Lines 4 through 12.)
- Line 14-** Report the proceeds from the sale by your Departmental element or agent of property, other than scrap, reported in Line 11.
- Line 15-** Report the proceeds from the sale by your Departmental element or agent of scrap reported in Line 12.
- Line 16-** Report the total acquisition cost of all property reassigned for use within your Departmental element.
- Line 17-** Report the acquisition cost of excess property received by your Departmental element during the reporting period by transfer from other Government agencies. Do not include acquisitions from other Departmental elements.

 U.S. Department of Transportation Office of the Secretary of Transportation	REPORT OF SURVEY FOR LOST, DAMAGED, OR DESTROYED PERSONAL PROPERTY <i>(Submit a separate report for each category—lost, damaged, or destroyed)</i>		Date Prepared	Survey Case Number	
	Primary Organization Unit (Dept. Element)		Office or Station Reporting (Org. Symbol)		Location
STOCK NUMBER AND DESCRIPTION			QUANTITY	UNIT PRICE	TOTAL COST
					GRAND TOTAL \$ _____
Explain the circumstances causing this report to be filed. Attach additional pages, statements, or exhibits as necessary.					
The information given above is true and correct to the best of my knowledge and belief.					
_____ <i>Signature of Property Custodian (or person preparing the report.)</i>			_____ <i>Typed Name, Title and Date</i>		
SUPERVISOR'S STATEMENT. <input type="checkbox"/> I have reviewed the information above and the supporting statement(s) and have nothing further to offer. <input type="checkbox"/> I have an additional statement (attached).					
_____ <i>Signature of Supervisor</i>			_____ <i>Typed Name, Title and Date</i>		
PROPERTY MANAGEMENT OFFICER'S STATEMENT. I have reviewed the information included in this report; the description and pricing is correct; a survey report case number has been assigned and recorded; and the following actions have been taken to correct the circumstances reported above. (Attach pages as necessary). Referred to Survey Officer/Survey Board on _____ (date).					
_____ <i>Signature</i>			_____ <i>Typed Name, Title and Date</i>		

FACTS, CONDITIONS FINDINGS, ETC. of the Survey Officer or Survey Board. (Use additional sheets if necessary).

I (we) have examined all available evidence as outlined in the attached exhibits and have personally investigated the same and it is my (our) belief that the article(s) listed, total cost \$ _____ was (were)

(If pecuniary liability is recommended include name(s) of person(s) to be held and the amount(s).

Typed Name and Signature of Chairman or Survey Officer Date

Member Date Member Date

Member Date Member Date

APPROVING OFFICIAL'S Conclusions and disposition instructions.

- a. Concur.
- b. Do not concur. (State action to be taken.)

Signature Typed Name and Title Date

FINAL ACTION

The instructions of the Approving Official regarding disposition of the property have been accomplished and appropriate disposal action taken, abandonment, or destruction has been accomplished and witnessed as indicated. Property Accountability records have been properly adjusted and voucher(s) processed to adjust the fiscal records.

Property Management Officer _____
Signature Date

DESTRUCTION OR ABANDONMENT WAS ACCOMPLISHED BY _____
IN MY PRESENCE.

Witness _____
Signature Typed Name and Title Date

PUBLIC NOTICE
OF
ABANDONMENT OR DESTRUCTION

1. NOTICE.

NOTICE is hereby given that the _____ proposes to initiate abandonment or destruction procedures for the following surplus Government equipment.

Item Name: _____

General Description: _____

NSN: _____

Quantity: _____

Condition: _____

Unit of Issue: _____

Total Acquisition Cost: _____

2. DONATION.

Beginning on _____, until close of business _____, the above equipment will be available for donation to public bodies. After this time, all remaining property will be abandoned or destroyed in accordance with applicable Government disposal regulations.

3. SALE.

Notwithstanding the above, commencing with the posting of this Notice and so long as the equipment is available, the Government will consider the sale of all or any portion of this equipment to any or all interested parties on a first-come, first-served basis.

4. INSPECTION.

This equipment is available for inspection at _____ from _____ to _____ Monday through Friday, excluding holidays. Interested parties are invited to contact:

Name	Location	Telephone Number

DEPARTMENT OF TRANSPORTATION

Part A—To Be Completed By Each Person Removing Equipment		Date
Name (Typed or printed) _____ <i>Typed or Printed</i> _____ <i>Signature</i>	Description of Equipment (include serial number)	Owner <input type="checkbox"/> DOT <input type="checkbox"/> Personal <input type="checkbox"/> Vendor <input type="checkbox"/> Other (Specify) Return date _____
Property Custodian's Name (Printed), Rte. Symb., Telephone No.		Property Custodian's Signature Date

Part B—To Be Completed By DOT Personnel Only				
Organizational Element	Routing Symbol	Phone	Office Building	Room No.

Part C—To Be Completed By Non-DOT Personnel Only			
Employer	Address of Employer	DOT Official and Office Aware of Removal	Phone No.

Part D—To Be Completed By Guard		
Person removing property was— <input type="checkbox"/> DOT Employee <input type="checkbox"/> Other	If Other—Name of DOT official and office who verified removal	Verified by <input type="checkbox"/> Phone <input type="checkbox"/> In Person

Routing Instructions for Completed Forms		
Guard: Fold original with lower third exposed, staple, and forward to security office. Provide duplicate copy to individual concerned.		
Security Office: Forward to property management office.		
Routing of Completed Copies		
To	Routing Symbol	Organization
1		
2		

4-0505. Reports Regarding Precious Metals Recovery.

- a. Waiver of Annual Requirement. Under the provisions of FPMR 101-45.1002-2, the Department has been granted a waiver to the annual reporting requirement as long as the Interservice Support Agreement with the Defense Reutilization and Marketing Service (DRMS) is kept current. Therefore, there is no requirement for Departmental elements to provide an annual report to the Department.
- b. Information Provided by DRMS. The Defense Reutilization and Marketing Service provides to the Department (ATTN: M-44) an annual report, by location, of the materials turned in by DOT activities.

SECTION 6. EQUIPMENT DISPOSAL AND REMOVAL FROM THE OFFICIAL PROPERTY RECORD

- 4-0601. General. Disposal is the culmination of all of the actions that provide documentation that will substantiate the removal of equipment from the official equipment records by transfer, sale, donation, abandonment, destruction, report of survey action, trade-in, or other authorized means. Disposal of excess equipment should be accomplished as expeditiously and economically as possible. Equipment that is dangerous to public health or safety should not be disposed of without making it harmless, providing adequate safeguards, or properly advising the recipient of the hazardous or dangerous nature of the equipment. Until final disposal action is taken, equipment that is declared to be excess is accounted for, controlled, maintained, and handled in the same manner as all other equipment carried on the equipment records.
- 4-0602. Documentation. Regardless of the method of disposal, i.e., transfer, donation, sale, abandonment or destruction, exchange, or trade in, the action shall be documented to support the removal of the equipment from the official property record.
- 4-0603. Reports. For Departmental management purposes and to meet requirements of the Federal Property Management Regulations 101-43.4701(a), an annual report shall be provided to the Office of the Assistant Secretary, (ATTN: M-44), not later than November 15 of each year.

The Annual Report - Utilization and Disposal of Excess and Surplus Personal Property, shall be completed utilizing form DOT F 4400.1. Instructions for collecting information on activity conducted during the last completed Fiscal Year are contained on the form. Reports shall be consolidated, specific elements of information extracted and reported to the General Services Administration by the Personal Property Division (M-44).

GLOSSARY OF TERMS

APPENDIX A

DEFINITIONS FOR USE IN PERSONAL PROPERTY MANAGEMENT

ACCOUNTABLE AREA - An area, defined by organizational or geographical limits, for which a discrete set of formal property accountability records is maintained under the jurisdiction of a designated Property Officer.

ACCOUNTABLE OFFICER - See PROPERTY ACCOUNTABLE OFFICER.

ACCOUNTABLE PROPERTY - A term used to identify Government property which is recorded in a formal personal property accounting system and is controlled by an identification system and supporting records from its acquisition through disposal.

ACCOUNTABLE PROPERTY RECORDS - Formal records of personal property which assign specific responsibility for control to an individual. Such records may control single items or aggregates of similar property.

ACCOUNTABILITY - The act of maintaining an account (record) for personal property by providing a complete audit trail for personal property transactions from receipt to final disposition.

ACQUIRE - To obtain ownership of property in any manner, including: purchase, transfer, donation, manufacture, construction, condemnation, or production at Government-owned plants or facilities.

ACQUISITION - The process of obtaining by any means, from any source, personal property to be used to satisfy the need to support a program.

APPROVING OFFICIAL - An individual who has final authority to approve findings and recommendations; normally used in the approval/disapproval of findings and recommendations of the Survey Officer or Survey Board on Reports of Survey for Lost, Damaged, or Destroyed Property.

ASSET - Any item of economic value owned by a Governmental unit.

AUTHORITY - The power to take actions or approve actions of others.

AUTOMATIC DATA PROCESSING EQUIPMENT (ADPE) - See FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT.

BOARD OF SURVEY - A committee or panel appointed by senior management officials, typically consisting of three or five members, charged with the responsibility for review or investigation of reported loss or damage of property, and fixing financial liability for such loss; and authorization for removal of items from the official property records. A "Survey Officer" may be appointed in lieu of a board when the value of the property warrants.

CAPITALIZATION - A financial management term that describes the function of recording the total acquisition cost of an item in the general ledger of an agency's financial accounts in order to accurately reflect the agency's investment in the asset.

CAPITALIZED PERSONAL PROPERTY - All property with an initial acquisition cost at or above the criteria established by the GAO in Title 2 of its Policy and Procedures Manual for Guidance of Federal Agencies, which is recorded in the general ledger of the financial management accounts. An agency may select a lower capitalization level than that established by GAO.

COMPONENT - A major program, administrative activity, organization, or functional subdivision of a Secretarial Office or Operating Administration.

CONSUMABLE ITEM - See Expendable Property

CONTRACTOR - A private person, organization, agency, or firm who agrees to provide supplies and/or service during an agreed-to time period for a stated price or rate.

CONTRACTOR INVENTORY - Property furnished to, or acquired by, and in the possession of a contractor, pursuant to the terms of a contract, in which title is vested in the Government.

CONTROL - The ongoing function of maintaining physical oversight and surveillance of personal property throughout its life cycle using various management tools and techniques.

CONVENTIONAL OFFICE FURNITURE - An assemblage which consists of independent, stand alone work surfaces, storage units, chairs and other items except those items specifically defined as a furniture system. Automatic data processing support and modular furniture product lines are considered to be conventional office furniture.

CROSS-SERVICING - The provision of services by one agency for another agency. Such services are covered by a written agreement made between the two agencies.

CUSTODIAL AREA - A subdivision of an accountable area, defined by organizational or geographical limits, for which a personal property custodian has been designated.

DELEGATION OF AUTHORITY - The specific formal deputation, assignment, or commitment of a legal power or right to take certain actions and to make certain decisions.

DEPRECIATION - Periodic bookkeeping or accounting entries made in the financial records to reflect decreases in the value of property through age, wear, deterioration, or obsolescence.

DETERMINING AUTHORITY - The person in charge of an organization or area which is designated as an accountable area.

DEVIATION - Use of a standard, limitation, policy, procedure, or authority other than that prescribed by regulation.

DIRECT DELIVERY - Items which are delivered directly to the user after the property office has reviewed the receiving document for completeness and assigned a voucher number to it.

DISPOSAL - The actions involved in the removal of personal property from use and from the property accounting system.

DISPOSAL OFFICER - The person who is responsible for determining the appropriate disposition of personal property that is no longer needed by the organization to which it is assigned.

DISPOSAL TRANSACTION - The action or process that will result in the removal of personal property from official records by sale, transfer, donation, abandonment, destruction, trade in, or other authorized means.

EQUIPMENT - A term applied to an article of personal property which is complete in itself, is of durable nature with an expected services life of 1 year or more, and does not ordinarily lose its identity or become a component part of another article when put into use.

EXCESS PROPERTY - Property which is no longer required by the holding agency for its needs and the discharge of its responsibilities, as determined by the head of the agency, and has been reported to the General Services Administration.

EXCHANGE/SALE - The process by which personal property not excess to the needs of the holding agency, but eligible for replacement, is exchanged (trade-in) or sold with the application of the allowance or proceeds towards purchase of the replacement item.

EXPENDABLE PROPERTY - Personal property which is consumed in use or loses its identity when used, or becomes a component part of other personal property.

FEDERAL CATALOG SYSTEM - The system by which items are uniformly identified to facilitate management of all logistical operations from determination of requirements through disposal. Included are items subject to repetitive procurement, storage, distribution and issue, and all locally purchased, centrally managed items. The catalog system names, describes, identifies, classifies, and numbers all items which it contains.

FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT - Any equipment or interconnected system or subsystems of equipment in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or retrieval of data of information, and accessorial devices used in support of data processing.

Related FIP Equipment Terms Include -

ACOUSTIC COUPLER - See MODEM; MODEM, ACOUSTIC; and MODEM, RACK MOUNTED

CARD PUNCH - An output device which generates punched cards based upon input data or instructions. In some cases, a card punch can be included in a card reader unit.

CARD READER - An input device which reads coded data stored on punched cards.

CHANNEL - An inboard or outboard device which transfers data between a mainframe computer and peripheral devices. This device is also known as an Input/Output Processor.

DEGAUSSER - A device used to demagnetize magnetic tapes prior to reusing them for storing data.

CONTROL UNIT - A device which controls and provides access to peripheral devices such as disk and tape drives as directed from a computer.

DISK DRIVE - A stand alone data storage device, for either hard or floppy disk, removable or non-removable media.
Synonymous terms: mass storage device, direct access storage device, removable or fixed disk pack.

FEDERAL INFORMATION PROCESSING (FIP) RESOURCES - Includes FIP equipment, software, servers, support services, maintenance, related supplies and systems.

MICROCOMPUTER - An item of automatic data processing equipment in which the processor and all other functional elements are included in one integrated component.

MICROCOMPUTER RESOURCES - A collective term which includes microcomputer equipment and proprietary software.

MODEM - A device for transmitting or receiving digital data over analog telephone lines (e.g., line driver, acoustic coupler).

MODEM, ACOUSTIC - A modem which uses a telephone as part of its integral configuration. Also called an acoustic coupler.

MODEM, RACK MOUNTED - A modem which is mounted on a rack (shelf) for ease of use.

MONITOR - A device containing a cathode ray tube (CRT), similar to a television, used only to receive/view data.

MULTIPLEXER - A device used for transmitting several messages simultaneously on the same circuit or channel.

PLOTTER - A device that takes digitized information from a computer and draws it into graphic display on paper via the use of ink pens.

PROCESSOR - The computing element of a mainframe or minicomputer. Synonymous term: Central Processing Unit (CPU). May contain other functional elements, e.g., random access memory, disk controllers.

PROPRIETARY SOFTWARE - Computer software that has been developed at private expense, is considered to be a trade secret, and is protected by law with restrictions that are fully described in the accompanying license, use, or sales agreement.

PRINTER - A device that receives information from a computer and converts it to hard copy print (e.g., ink jet, laser, in feed, single feed).

RAM - An acronym for **RANDOM ACCESS MEMORY** or that portion of a microprocessor from which software is extracted or data is held on a temporary basis.

SCANNER - A device used to read printed words, charts, etc., from paper and convert them to digitized information for computer storage.

SOFTWARE - Any software, including firmware, specifically designed to make use of and extend the capabilities of FIP equipment. Examples of FIP software, systems programs (e.g., control and library programs, assemblers, compilers, interpreters, utility programs, sort-merge program and maintenance programs); application programs; and commercially available programs (e.g., word processing, communications, graphics, file-management and data base management system software).

APPLICATION SOFTWARE - A series of instructions or statements in a form acceptable to a computer, designed to cause the computer to execute an operation or operations necessary to process requirements.

COMMON-USE SOFTWARE - Software that deals with applications common to many agencies, that would be useful to other agencies and is written in such a way that minor variations in requirements can be accommodated without significant programming effort.

SWITCH - A device that will allow different computer systems to share peripheral devices.

TAPE DRIVE - A stand alone cartridge, reel-to-reel, or cassette data storage device.

TERMINAL - A device, having a permanently connected keyboard, which is used to send and receive data from a computer.

VTAM Terminal - A terminal connected to an IBM mainframe.

TONS Terminal - A terminal linked to the TONS CCI minicomputer used to perform office functions such as typing, E-mail, etc.

WORD PROCESSOR - A device consisting of a keyboard, power supply/line drive modem, and monitor.

FEDERAL REGISTER - A publication issued daily except Saturdays, Sundays, and legal holidays which contains proposed, general, and permanent rules of all agencies of the Federal Government.

FEDERAL SUPPLY SCHEDULE - A contract entered into by the General Services Administration with a vendor from which ordering agencies submit purchase orders for specified products.

FEDSTRIP - An acronym for Federal Standard Requisitioning and Issue Procedures system. The system provides the basis for processing civilian agency requisitions.

FRUSTRATED SHIPMENT - A shipment which cannot continue toward its destination, for any reason, and for which the consignee or requisitioning agency cannot provide diversion instructions.

FURNITURE SYSTEM - An assemblage or combination of office furniture components that form a complex or unitary whole, i.e., a series of work stations. Components may consist totally of systems furniture, modular furniture, conventional furniture, or a combination thereof.

GENERAL LEDGER - A fiscal record maintained by the finance and accounting office which is comprised of several control accounts that reflect the dollar values of assets on hand. The general ledger is the primary record against which all property records are balanced.

GSA STOCK ITEM - An item of property which GSA procures based on projected requirements of all Federal agencies, stores in bulk quantities, and distributes upon receipt of requisitions.

HOLDING AGENCY - The executive agency which has accountability for the personal property involved.

IN USE ACCOUNTABLE PERSONAL PROPERTY - Nonexpendable personal property assigned to a custodial area which is serving its intended operational purpose and for which accountable records and controls should be maintained.

INTERSERVICE SUPPORT AGREEMENT - An agreement between two agencies wherein one agrees to perform certain services for the other.

INVENTORY ADJUSTMENT - Changes made to the official property records when physical counts and official records do not agree. All such changes require specific approvals.

INVENTORY (noun) - The formal listing (property record) of all personal property assigned to an organization.

INVENTORY (verb) - The act of locating, identifying, counting, recording items and reconciling the differences in the physical count with the official property record.

LIFE EXPECTANCY - The number of years that an item of equipment can be anticipated to provide useful service when properly maintained in use.

LINE ITEM - A single line entry on a reporting form which indicates a specific type of equipment having the same description.

MATERIAL - Any item necessary for the equipment, maintenance, operation, and support of a project/activity without distinction regarding its use for administrative or operational purposes.

MICROCOMPUTER - See MICROCOMPUTER under FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT related terms.

MICROCOMPUTER RESOURCES - See MICROCOMPUTER RESOURCES under FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT related terms.

MILSTRIP - An acronym for Military Standard Requisitioning and Issue Procedures system. The system provides the basis for processing requisitions within the military structure.

MODEM - See MODEM under FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT related terms.

MODULAR FURNITURE - Office furniture which consists of interconnecting panel assemblies, however, uses free standing work surfaces, storage units, and other major components rather than units attached to the interconnecting panels.

MONITOR - See MONITOR under FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT related terms.

MUSEUM PROPERTY - An assemblage of museum objects collected according to a rational scheme and maintained so they can be preserved, studied, or interpreted for public benefit. Museum objects include prehistoric and historic objects, artifacts, works of art, archival documents, and natural history specimens that are a part of museum collections. Elements, fragments and components of structures are objects if they are no longer a part of the original structure. Museum property does not include those items necessary to display a collection such as exhibit cases, dioramas, special lighting, graphics, replicas, etc.

NEGLECT and NEGLIGENCE - Includes both simple negligence and gross negligence. Simple negligence is the failure or omission to observe, for the protection of Government interests, that degree of care, precaution and vigilance which the circumstances justly demand, whereby the Government suffers through loss, damage, or destruction of property. Gross negligence is an act or omission of the employee(s) which constitutes misconduct, willful negligence, or a wanton and reckless disregard for the property.

NONEXPENDABLE PERSONAL PROPERTY - Property which has a normal life expectancy of more than 1 year, has continuing use as a self-contained unit, is not consumed in use, does not lose its identity when put to use, or does not ordinarily become a non-severable component of other property.

NON-CAPITALIZED PERSONAL PROPERTY - All Government-owned personal property that does not meet the GAO or the holding agency's established criteria for capitalization into the general ledger of the agency's financial management account.

NON-REPORTABLE EXCESS PERSONAL PROPERTY - Property which is not required to be formally reported to the General Services Administration (GSA) for Federal redistribution screening. See additional screening in FPMR 101-43.305. See EXCESS PROPERTY.

OFFICE FURNITURE - Items of supply classified under Federal Supply Class (FSC) 7110 of the Federal Catalog System. (Also see Conventional Office Furniture, Modular Furniture, Systems Furniture, and Furniture System.)

PECUNIARY LIABILITY - Responsibility of an individual to pay for an item of equipment or supply.

PERSONAL PROPERTY - Any property, except real property, records of the Federal Government, and naval vessels of the following categories: battleships, cruisers, aircraft carriers, destroyers, and submarines.

PERSONAL PROPERTY ACCOUNTABILITY AND CONTROL SYSTEM - A general term that applies to all the processes, records, and documents used to achieve the objective of management.

PERSONAL PROPERTY MANAGEMENT - All functions necessary for the proper determination of need, source, acquisition, receipt, accountability, utilization, maintenance, rehabilitation, storage, distribution, and disposal of personal property.

PERSONAL PROPERTY MANAGEMENT SYSTEM - A concept or means for controlling and accounting for personal property for which the Government is responsible.

PHYSICAL INVENTORY - A periodic physical count of personal property that is actually on hand and the comparison of those counts with the applicable property records.

PLOTTER - See PLOTTER under FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT related terms.

PRINTER - See PRINTER under FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT related terms.

PROGRAM MANAGER - The individual responsible for overseeing and controlling a function, component, project, etc., and may include research leaders, scientists, engineers, project officers, administrative officers and other individuals.

PROPERTY ACCOUNTABLE OFFICER - The person designated in writing who maintains the formal personal property account for a designated accountable area. Normally works for the Property Management Officer and may serve a dual role as the Property Management Officer.

PROPERTY ADMINISTRATOR - An authorized representative of the contracting officer assigned to administer the contract requirements and obligations relating to Government property.

PROPERTY CUSTODIAN - The person designated in writing, by name or organizational position, as being responsible for the control of the personal property within a specified custodial area.

PROPERTY CUSTODY OFFICER - See PROPERTY CUSTODIAN.

PROPERTY MANAGEMENT OFFICER - See PROPERTY OFFICER.

PROPERTY MANAGER - See PROPERTY OFFICER.

PROPERTY OFFICER - The person designated in writing, by name or organizational position, as being responsible for the management of a system of accountability and control for personal property within a specified organization.

PROPRIETARY SOFTWARE - See PROPRIETARY SOFTWARE under FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT related terms.

PURCHASE ORDER - An offer by the Government to buy certain supplies or non-personal services from commercial sources, upon specified terms and conditions, the aggregate amount of which does not exceed the small purchase limit.

PURCHASE REQUEST - A need expressed by a user and placed on the property manager for supplies, service, or equipment.

RECEIVING REPORT - A property accounting record which acknowledges receipt by the accountable individual of property or service from a vendor or other source.

"REPLACEMENT" STANDARDS - Factors that should be considered in making a decision to acquire new equipment.

REPORT OF SURVEY - A process used to examine facts, determine responsibility, and establish the extent of liability for the loss, damage, and/or destruction of Government property; to provide relief from responsibility and/or accountability; and to provide a document authorizing the removal of personal property from the formal account.

RECONCILIATION - The process of matching and adjusting property records for a specific item to all such records to bring them into full agreement and to assure that they accurately reflect the quantity, description, condition, location, property custodian, etc., of the item.

REHABILITATION - To restore to good operating condition.

REQUIREMENT - An established need which justifies the allocation of resources to achieve a capability to accomplish an objective or task which generated the need.

REPLACEMENT STANDARD - An established measurement of an item of equipment's performance and utility, the result of which determines whether a new item should be acquired to replace the one currently in use.

REPORTABLE EXCESS PROPERTY - Personal property which is required to be reported to the General Services Administration (GSA) for Federal redistribution screening as outlined in FPMR 101-43.304-1. See EXCESS PROPERTY.

RESPONSIBILITY - Being accountable (answerable) for all actions which are taken or fail to be taken within the scope of an individual's delegated authority.

RISK ASSESSMENT - A documented review by management of a component's degree of susceptibility to waste, loss, unauthorized use, or misappropriation and includes consideration of management controls.

SENSITIVE ITEM - Personal property, regardless of its acquisition cost, that by its nature is subject to theft, loss, conversion to personal use, or for some other reason must be subjected to more stringent controls than other property.

SERIAL-NUMBERED PROPERTY - Property which contains a unique identifying number affixed by the manufacturer.

SOFTWARE - See SOFTWARE under FEDERAL INFORMATION PROCESSING (FIP) EQUIPMENT related terms.

SPACE MANAGER - The person designated, by name or organizational position, who is responsible for coordinating the assignment and utilization of space for a specific organization.

SPECIFICATION - A detailed description of the essential and technical requirements of items, materials, or services.

SUPPLIES - Expendable personal property which is consumed in use.

SURPLUS PERSONAL PROPERTY - Any excess personal property that is not required for the needs and the discharge of the responsibilities of all Federal agencies, as determined by the Administrator of General Services.

SURVEY BOARD - See BOARD OF SURVEY.

SURVEY OFFICER - An individual designated by proper authority to investigate, report on, and make recommendations on the loss, damage to, or destruction of Government property.

SYSTEMS FURNITURE - Office furniture which consists of interconnecting panel assemblies together with work surfaces, storage units, and other major components which are panel supported in lieu of free standing.

UNREQUIRED PERSONAL PROPERTY - Property that is no longer needed by the organization to which it is assigned. Normally, has not been reported to the General Services Administration.

"USE" STANDARD - Guidelines established for determining in what quantity, when, and where items or categories of items are required.

USED PROPERTY - Property that was previously assigned to a Property Custodian or user or shows signs of normal wear and tear.

VALIDATION - Confirmation of approval that a request for supplies, services or equipment is based on the proper authority and is fully justified to be acquired.

EQUIPMENT MANAGEMENT FORMS AND FORMATS

APPENDIX B

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Appendix B

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Personal Property Hand Receipt			
Property issued to: (Name/Telephone No.)		Date:	Location:
		Division or Branch:	
Quantity	Description of Item(s)	Serial No. / Bar Code No.	Value
<p>Statement of Responsibility: I have received the item(s) listed above and accept personal responsibility for this property. As an employee of the Government to whom public property is entrusted, I clearly understand that: (1) I am responsible for the proper custody, care, and safeguarding of this property; (2) I am authorized to use the property for official purposes only; (3) I will either return the property to the issuing officer when no longer required for the purpose intended, transfer, or separation from the Government; and (4). If the property is lost, damaged or destroyed, I may be held financially liable and/or subject to discipline if the loss, damage or destruction resulted from my negligence, misuse, dishonesty or willful destruction.</p>			
Signature of User	Date of Issue	Property Custodian	Date Returned

 ANNUAL REPORT—UTILIZATION AND DISPOSAL OF EXCESS AND SURPLUS PERSONAL PROPERTY <small>U.S. Department of Transportation Office of the Secretary of Transportation</small>		REPORT FOR FY ENDING
DEPARTMENTAL ELEMENT		
DESCRIPTION		Acquisition Cost (Report Dollars Only)
D I S P O S I T I O N S	1. BEGINNING INVENTORY	
	2. ADJUSTMENTS	
	3. DETERMINED EXCESS BY REPORTING DEPARTMENTAL ELEMENT DURING THIS REPORTING PERIOD	
	4. TRANSFERRED BY REPORTING DEPARTMENTAL ELEMENT TO OTHER DEPARTMENTAL ELEMENTS	
	5. TRANSFERRED DIRECTLY BY REPORTING DEPARTMENTAL ELEMENT TO OTHER FEDERAL AGENCIES FOR UTILIZATION	
	6. TRANSFERRED BY REPORTING DEPARTMENTAL ELEMENT TO GSA FOR PROCESSING	
	7. TRANSFERRED BY REPORTING DEPARTMENTAL ELEMENT TO OTHER FEDERAL AGENCIES FOR FURTHER PROCESSING (DO NOT INCLUDE TRANSFERS REPORTED ABOVE IN LINES 4 AND 5)	
	8. DECLARED SCRAP BY REPORTING DEPARTMENTAL ELEMENT	
	9. ABANDONED OR DESTROYED BY REPORTING DEPARTMENTAL ELEMENT	
	10. DONATED BY REPORTING DEPARTMENTAL ELEMENT (TOTAL)	
	a. TO PUBLIC BODIES	
	b. TO PUBLIC AIRPORTS	
	c. TO EDUCATIONAL, PUBLIC HEALTH, AND CIVIL DEFENSE	
d. TO OTHER		
11. SALES, OTHER THAN SCRAP, BY REPORTING DEPARTMENTAL ELEMENT		
12. SALES OF SCRAP BY REPORTING DEPARTMENTAL ELEMENT		
13. ENDING INVENTORY		
PROCEEDS FROM SALES	14. PROCEEDS FROM SALE OF PROPERTY OTHER THAN SCRAP (SOLD BY REPORTING DEPARTMENTAL ELEMENT OR ITS AGENT)	
	15. PROCEEDS FROM THE SALE OF SCRAP (SOLD BY REPORTING DEPARTMENTAL ELEMENT OR ITS AGENT)	
REMARKS:	16. PROPERTY REASSIGNED WITHIN REPORTING DEPARTMENTAL ELEMENT	
	17. ACQUISITION OF EXCESS PROPERTY BY REPORTING DEPARTMENTAL ELEMENT (DO NOT INCLUDE ACQUISITIONS FROM OTHER DEPARTMENTAL ELEMENTS)	
APPROVED		
TYPED NAME & TITLE OF APPROVING OFFICIAL	SIGNATURE	DATE

PREPARATION INSTRUCTIONS

- General:** Reports shall be completed on an annual basis by each Departmental element (Office of the Secretary and the operating administrations). Reports shall be submitted to the OST Office of Administrative Services and Property Management (Attn: M-44) not later than November 15 of each year. Entries shall reflect the acquisition cost of the property. If data on acquisition costs are not available, the estimated acquisition cost or the value at which the property is carried in inventory records for accounting purposes shall be used. Transactions involving grantee/contractor inventories and exchange/sale property shall be excluded from this report.
- Line 1-** Report the acquisition cost of all excess and surplus property on hand at the beginning of the reporting period. This should be the same amount reported as the ending inventory on last year's report.
- Line 2-** Report net gains (+) or losses (-) to the figure shown in Line 1 resulting from overages, shortages and corrections. Explain all net adjustments exceeding \$50,000 or 10% of Line 1 under Remarks.
- Line 3-** Report the total acquisition cost of all personal property determined to be excess to the needs of your Departmental element. Do not include property determined to be excess during the year but subsequently withdrawn for your use later in the same year.
- Line 4-** Report the acquisition cost of all property transferred by your Departmental element for use by other Departmental elements.
- Line 5-** Report the acquisition cost of all personal property transferred from your Departmental element directly to other Federal agencies for utilization under the provisions of FPMR 101-48.309-5(a).
- Line 6-** Report the acquisition cost of all property transferred to the General Services Administration (GSA) for further processing.
- Line 7-** Report the acquisition cost of all personal property transferred to another Federal agency for further processing. Do not include transfers to GSA for further processing or direct transfers to other Federal agencies for reutilization. Do not include property/materials transferred specifically under the precious metals recovery program.
- Line 8-** Report the acquisition cost of all personal property declared scrap. Do not include in this Line any transactions of scrap for further processing under the precious metals recovery program.
- Line 9-** Report the acquisition cost of all personal property abandoned or destroyed by your Departmental element.
- Line 10-** Report the acquisition cost of all personal property provided directly by your Departmental element to donees. On Line 10 include the total of all donations (Lines 10a + 10b + 10c + 10d). Do not include in Line 10 any donation transactions which resulted from property being reported to GSA and then donated by GSA. Statutory authority or other explanations for the donations included in Line 10d shall be cited in the Remarks section of this form.
- Line 11-** Report the acquisition cost of all surplus property, except scrap, sold by your Departmental element or agent during the reporting period.
- Line 12-** Report the acquisition cost of all items sold as scrap by your Departmental element during the reporting period.
- Line 13-** Report the acquisition cost of excess and surplus property on hand at the end of the reporting period. (Line 1 plus or minus Line 2 plus Line 3 minus Lines 4 through 12.)
- Line 14-** Report the proceeds from the sale by your Departmental element or agent of property, other than scrap, reported in Line 11.
- Line 15-** Report the proceeds from the sale by your Departmental element or agent of scrap reported in Line 12.
- Line 16-** Report the total acquisition cost of all property reassigned for use within your Departmental element.
- Line 17-** Report the acquisition cost of excess property received by your Departmental element during the reporting period by transfer from other Government agencies. Do not include acquisitions from other Departmental elements.

 U.S. Department of Transportation Office of the Secretary of Transportation	REPORT OF SURVEY FOR LOST, DAMAGED, OR DESTROYED PERSONAL PROPERTY <i>(Submit a separate report for each category—lost, damaged, or destroyed)</i>		Date Prepared	Survey Case Number
	Primary Organization Unit (Dept. Element)	Office or Station Reporting (Org. Symbol)	Location	
STOCK NUMBER AND DESCRIPTION		QUANTITY	UNIT PRICE	TOTAL COST
				GRAND TOTAL \$ _____
Explain the circumstances causing this report to be filed. Attach additional pages, statements, or exhibits as necessary.				
The information given above is true and correct to the best of my knowledge and belief.				
_____ <i>Signature of Property Custodian (or person preparing the report.)</i>		_____ <i>Typed Name, Title and Date</i>		
SUPERVISOR'S STATEMENT. <input type="checkbox"/> I have reviewed the information above and the supporting statement(s) and have nothing further to offer. <input type="checkbox"/> I have an additional statement (attached).				
_____ <i>Signature of Supervisor</i>		_____ <i>Typed Name, Title and Date</i>		
PROPERTY MANAGEMENT OFFICER'S STATEMENT. I have reviewed the information included in this report; the description and pricing is correct; a survey report case number has been assigned and recorded; and the following actions have been taken to correct the circumstances reported above. (Attach pages as necessary). Referred to Survey Officer/Survey Board on _____ (date).				
_____ <i>Signature</i>		_____ <i>Typed Name, Title and Date</i>		

FACTS, CONDITIONS FINDINGS, ETC. of the Survey Officer or Survey Board. (Use additional sheets if necessary).

I (we) have examined all available evidence as outlined in the attached exhibits and have personally investigated the same and it is my (our) belief that the article(s) listed, total cost \$ _____ was (were)

(If pecuniary liability is recommended include name(s) of person(s) to be held and the amount(s).

Typed Name and Signature of Chairman or Survey Officer Date

Member Date Member Date

Member Date Member Date

APPROVING OFFICIAL'S Conclusions and disposition instructions.

- a. Concur.
- b. Do not concur. (State action to be taken.)

Signature Typed Name and Title Date

FINAL ACTION

The instructions of the Approving Official regarding disposition of the property have been accomplished and appropriate disposal action taken, abandonment, or destruction has been accomplished and witnessed as indicated. Property Accountability records have been properly adjusted and voucher(s) processed to adjust the fiscal records.

Property Management Officer _____
Signature Date

DESTRUCTION OR ABANDONMENT WAS ACCOMPLISHED BY _____
IN MY PRESENCE.

Witness _____
Signature Typed Name and Title Date

DEPARTMENT OF TRANSPORTATION

Part A—To Be Completed By Each Person Removing Equipment		Date
Name (Typed or printed) _____ <i>Typed or Printed</i> _____ <i>Signature</i>	Description of Equipment (include serial number)	Owner <input type="checkbox"/> DOT <input type="checkbox"/> Personal <input type="checkbox"/> Vendor <input type="checkbox"/> Other (Specify) Return date _____
Property Custodian's Name (Printed), Rte. Symb., Telephone No.		Property Custodian's Signature Date

Part B—To Be Completed By DOT Personnel Only				
Organizational Element	Routing Symbol	Phone	Office Building	Room No.

Part C—To Be Completed By Non-DOT Personnel Only			
Employer	Address of Employer	DOT Official and Office Aware of Removal	Phone No.

Part D—To Be Completed By Guard		
Person removing property was— <input type="checkbox"/> DOT Employee <input type="checkbox"/> Other	If Other—Name of DOT official and office who verified removal	Verified by <input type="checkbox"/> Phone <input type="checkbox"/> In Person

Routing Instructions for Completed Forms		
Guard: Fold original with lower third exposed, staple, and forward to security office. Provide duplicate copy to individual concerned.		
Security Office: Forward to property management office.		
Routing of Completed Copies		
To	Routing Symbol	Organization
1		
2		