# U.S. Department of Energy

## Washington, D.C.

SUBJECT: AUTOMATIC DATA PROCESSING EQUIPMENT/DATA SYSTEMS

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1. **PURPOSE.** To establish responsibilities, policies, and guidelines for reporting selected automatic data processing equipment (ADPE) inventories within the Department of Energy (DOE).

2. **CANCELLATION.** DOE 1360.6, AUTOMATIC DATA PROCESSING EQUIPMENT/DATA SYSTEMS, of 5-30-86.

3. **APPLICATION TO CONTRACTS.** The provisions of this Order are to be applied to all covered contractors, and they will apply to the extent implemented under a contract or other agreement. A covered contractor is a management and operating (M&O) contractor or other cost-reimbursement type contractor.

4. **REFERENCES.**

   a. DOE 1360.1A, ACQUISITION AND MANAGEMENT OF COMPUTING RESOURCES, of 5-30-86, which establishes Departmental policies and procedures for the acquisition and management of ADPE-related resources.

   b. Title 41 Code of Federal Regulations (CFR) 201-21.2, "Federal Information Resources Management Regulation," of 6-20-91, as revised, which lists reporting and submission requirements for the Automatic Data Processing Equipment/Data System (ADPE/DS) and states, in part, "All Federal agencies that own or lease ADP equipment are subject to the provisions of this manual . . . . Agencies must report general purpose small, medium and large computers (as specified by GSA), which are owned or leased by, and operated by or on behalf of, the Federal Government."

   c. DOE's ADPE/DS System Reference Manual which establishes procedures for processing data into the ADPE/DS (Operational System Documentation Document Number 46-11-R).

   d. Federal Information Processing Standards (FIPS) Publication 95, "Codes for the Identification of Federal and Federally-Assisted Organizations," of 12-23-82, as revised, which provides a four-character data element identifier for each Federal organization for data interchange among executive departments and independent agencies, and for Federal data interchange with the non-Federal sector including industry, State, local, and other governments, and the public at large.

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e.    FIPS Publication 5-2, "Codes for the Identification of the States, the District of Columbia, and Outlying Areas of the United States, and Associated Areas," of 5-28-87, as revised, which provides names, abbreviations, and codes for representing the 50 States, the District of Columbia, and the outlying areas of the United States (U.S.).

5.    <u>DEFINITIONS.</u>

a.    <u>Automatic Data Processing Equipment/Data System (ADPE/DS)</u> is the system to provide the U.S. General Services Administration (GSA) an inventory of selected ADPE in the Department, its M&O contractors, and other cost-reimbursement type contractors.

b.    <u>Program Secretarial Officer (PSO)</u> is a senior outlay program official and includes the Assistant Secretaries for Conservation and Renewable Energy, Defense Programs, Fossil Energy, Nuclear Energy, Environmental Restoration and Waste Management, and the Directors of Energy Research and Civilian Radioactive Waste Management.

c.    <u>Lead PSO</u> is the PSO assigned line management responsibility and accountability for Headquarters and field operations and to which one or more multi-program DOE Field Offices report directly.

d.    <u>Selected ADPE,</u> for purposes of the ADPE/DS, includes:

(1)   <u>Small Central Processing Units (CPU)</u>. Typically these processors range in cost from $10,000 to $100,000. High-end commodity-chip models specifically designed to function as multiuser systems or servers are counted as small systems, even if manufactured by vendors typically associated with the personal computer (PC) or workstation market. (The Federal Equipment Data Center (FEDC) List of Personal Computers is distributed periodically to the ADPE/DS users which lists the PCs which are exempt from reporting.)

(2)   <u>Medium CPUs</u>. Traditional supermini-class computers, and some systems classified by their vendors as small mainframes, which generally have average system prices from $100,000 to $1 million.

(3)   <u>Large CPUs</u>. Either general purpose or high-speed scientific computers with average system values generally in excess of $1 million.

6.    <u>POLICIES.</u>

a.    Departmental Elements, M&O contractors, and other DOE cost-reimbursement type contractors shall maintain an accurate and complete inventory of ADPE.

b. Current information concerning changes, deletions, and additions to the ADPE/DS shall be submitted no less frequently than semi-annually to the Office of Information Resources Management (AD-20), Attention: Office of Information Resources Management (IRM) Policy, Plans, and Oversight (AD-24) for processing.

c. Departmental Elements shall assess, on an annual basis, the accuracy and completeness of their data and the data of their respective M&O and other cost-reimbursement type contractors, and allocate appropriate staff and computer resources for collecting, processing, and forwarding the ADPE data to Headquarters.

7. <u>RESPONSIBILITIES.</u>

a. <u>Director of Information Resources Management (AD-20), through the Director of Information Resources Management Policy, Plans, and Oversight (AD-24)</u>, shall:

(1) Collect and verify the accuracy of reports submitted by Departmental Elements and covered contractors;

(2) Furnish necessary data on an accurate and timely basis to GSA;

(3) Serve as the Agency Program Coordinator for the ADPE/DS;

(4) Recommend appropriate changes, additions, or deletions to the ADPE/DS;

(5) Periodically assess and certify to GSA the accuracy and completeness of the Departmental ADPE data;

(6) Review and assess the viability of DOE Field Offices' programs regarding the implementation of the provisions of this Order;

(7) Develop and modify the various reporting procedures and instructions concerning the operation of the ADPE/DS, as appropriate; and

(8) Periodically distribute the FEDC List of Personal Computers which are exempt from reporting to the ADPE/DS users."

b. <u>Heads of Departmental Elements</u> shall:

(1) Establish internal procedures for collecting and processing their data, and for ascertaining and maintaining data integrity;

(2) Designate a point of contact to serve as the focal point for interaction with AD-24;

(3) Annually assess and certify the accuracy and completeness of their data and their contractors' data in the ADPE/DS;

(4) Ensure timely reporting of inventory data to the ADPE/DS;

(5) Include in a procurement request package for each procurement requiring the application of this Order the following: (a) identification of the Order; (b) identification of the specific requirements with which a contractor or other awardee is to comply, or, if this is not practicable, identification of the specific paragraphs or other portions of this Order with which a contractor or other awardee is to comply; and (c) establishment of requirements for the flow down of provisions of this Order to any subcontract.  For application to awarded contracts, Heads of Departmental Elements may set forth this information in a written communication to the contracting officer, rather than in a procurement request package; and

(6) Participate in the development and/or review of new ADPE/DS requirements, as appropriate.

c.   <u>PSOs and Lead PSOs</u> shall ensure that DOE Field Offices under their purview establish internal procedures for collecting and processing their data, and for ascertaining the integrity of their contractors' data.

8.   <u>GENERAL REPORTING REQUIREMENTS</u>.

a.   <u>ADPE/DS Inclusions</u>.  Departmental Elements must report all general purpose small, medium, and large CPUs which are owned by, or leased on behalf of, DOE.

b.   <u>ADPE Exemptions</u>.  The following ADPE is exempt from these reporting requirements.

(1) Contractor-owned computers, even when the equipment is operated exclusively for DOE;

(2) Computers that are either integral to, or embedded in, other equipment such as a weapon system, power transmission grid, or laboratory instrument;

(3) Computers built or modified to a special Government design;

(4) Computer peripheral equipment; and

(5) PCs listed on the current FEDC List of Personal Computers which is updated and distributed periodically to the ADPE/DS users.

    c.    <u>Regular reporting</u> of inventory data shall be submitted no less
frequently than semiannually (3-31 and 9-30 of each year).
ADPE/DS data shall be forwarded to:

> U.S. Department of Energy
> Office of Information Resources Management
> Office of IRM Policy, Plans, and
>   Oversight (AD-24)
> Washington, DC 20585

    d.    <u>Additional special reporting</u> may be required; however, submissions
will not be more than once per year.

9.    <u>REPORTING INSTRUCTIONS</u>.

    a.    <u>Data Submissions</u>.

    (1)    <u>On-line updating</u> of the ADPE/DS data has been facilitated by
the availability of data update screens which were developed
for use by Field Elements over the Federal Telecommunica-
tions System 2000.  For on-line updating, each submitting
organization is required to have an assigned user identifi-
cation, a valid password, and PC with compatible
communications software, as appropriate.

    (2)    <u>Secure Automated Communications Network (SACNET)</u> inputs can
be transmitted to Headquarters using a logical record length
of 80 characters and a blocking factor of one record per
block.

    (3)    <u>Hard copy reports</u> which follow the format of sample ADPE/DS
reporting schedules may be mailed to Headquarters in lieu
of on-line updating and SACNET inputs where it is more
cost-effective to do so.

    (4)    <u>Other electronic transfers</u> of the ADPE/DS data will be
accommodated on a case-by-case basis.

    b.    <u>Detailed Procedures</u> for accomplishing any or all of the above
acceptable data submissions are contained in the current ADPE/DS
System Reference Manual (Operational System Documentation Document
Number 46-11-R).

    c.    <u>Negative reporting</u> shall be periodically verified for those
organizations that have reported no inventory changes during a
reporting period.

BY ORDER OF THE SECRETARY OF ENERGY:

DOLORES L. ROZZI
Director of Administration
  and Management