

Department of the Interior Departmental Manual

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Part 376: Automated Data Processing

Chapter 14: Management and Use of Mainframe Computer Systems

Originating Office: Office of Information Resources Management

376 DM 14

14.1 Purpose. This chapter incorporates the policies and goals prescribed in the Department=s Mainframe Strategy approved by the Information Resources Management Review Council. The strategy establishes a practical, cost-effective approach for determining the future acquisition and use of the Department=s mainframe computing resources.

14.2 Background. Historically, mainframe systems within the Department have been acquired and expanded independently on a bureau-by-bureau basis. The bureaus maintained various computer and telecommunications management philosophies and strategies and interpreted rules and regulations independently, leading to widely differing approaches to planning, budgeting, and providing ADP services. As a result, some duplicate, inconsistent, and incompatible systems were developed and implemented. To address these concerns, this mainframe policy will guide the future direction of the Department=s acquisition and implementation of mainframe systems.

14.3 Definitions.

A. Administrative Service Center (ASC). A Department designated administrative support facility that provides common services to the Department and bureaus= (and other Federal agencies, as negotiated through cross-servicing agreements) supporting functions such as finance and accounting, procurement and contracts, personnel, property, and other general administrative functions. The ASC will either have its own mainframe computer facility or obtain services through another computer facility. Common Departmental administrative systems will be supported at ASCs. (The ASCs may also support bureaus in processing bureau-specific administrative systems and mission-oriented systems.)

B. Administrative System. A system that provides information processing to carry out administrative requirements.

(1) Bureau-Specific Administrative System. A system which supports administrative requirements unique to a particular bureau.

(2) Common Administrative System. A system, designated by the Department, that supports administrative requirements common to all bureaus, e.g.,

payroll/personnel processing and accounting transactions.

C. Mainframe Computers. Large-scale systems that can support a number of general purpose computing projects and have a system value over \$1 million. The systems are characterized by:

(1) One or more central processing units with extended instruction sets and extensive multiprocessing/multiprogramming capabilities and capable of having a large complement of high speed, high capacity peripherals,

(2) The requirement for a large operations support staff (either in-house or contract), and

(3) The necessity for specialized physical site and environment, communications facilities, and security controls.

D. Mission-Oriented. A system that is used to support the mission/program work of a bureau, e.g., systems related to real time data collection and analysis, civil engineering, computer aided design and drafting, geology, hydrology, ecology, geographic information, etc.

14.4 Scope. This chapter applies to all bureaus that operate or use mainframes to support administrative and mission-oriental systems.

14.5 Authority. On April 22, 1988, the Information Resources Management Review Council adopted a Departmental Mainframe Strategy. The strategy established a common policy regarding the management and use of the Department=s mainframe systems.

14.6 Objectives. The objectives of this chapter are to:

A. Encourage cost-effective and efficient information sharing and use.

B. Establish direction and guidelines for the use of mainframes throughout the Department.

C. Avoid or reduce duplication of effort in the development and maintenance of common administrative systems to produce significant cost savings.

D. Encourage the efficient and effective use of computer systems as well as developmental/maintenance/support staff (including contractor support).

E. Provide guidelines for the Office of Information Resources Management to review proposed mainframe acquisitions to reduce the time in the approval process.

14.7 Policies.

A. Bureau mainframes other than those at the designated ASCs will be used to support only mission-oriented work and allowable bureau-specific administrative systems. If

bureau-specific administrative systems are offered to other bureaus or Federal agencies on a reimbursable basis, prior approval of the Assistant Secretary - Policy, Management and Budget is required.

B. Bureaus will periodically monitor present and planned workloads to determine the continued need for mainframes within the bureaus. Where there is insufficient justification for continued use of these computers, alternative computer support sources will be considered.

C. Bureau-specific administrative systems will be permitted only if the requirements for those systems cannot be satisfied by common administrative systems.

D. Acquisitions of new bureau mainframe computers will be justified solely on the basis of mission needs and allowable bureau-specific administrative systems. Thorough analyses, reviews, and certifications for mission-oriented and approved bureau-specific administrative systems will be completed and the requirements of those systems serve as the basis and justification for new mainframe acquisitions.

E. Mainframe-based common administrative systems will be supported by the designated ASCs. The ASCs will develop a continuity of operations plan (COOP) to ensure that interruptions of service are kept to a minimum. The COOPs will include the minimum requirements prescribed in 375 DM 19.

14.8 Responsibilities.

A. The Director, Office of Information Resources Management, will exercise Departmentwide oversight over the acquisition and use of mainframes. In carrying out these responsibilities the Director will:

- (1) Ensure Departmentwide compliance with the provisions of this chapter and all other related Federal and Departmental regulations.
- (2) Review and approve proposed acquisitions of mainframes as prescribed by 376 DM 4.
- (3) Encourage cost effectiveness and efficiency in the acquisition and use of mainframes.
- (4) Promote sharing to avoid or reduce duplication of effort in the development and maintenance of common systems.
- (5) Develop and maintain an inventory on all major Departmental administrative and mission systems, as prescribed by 376 DM 11..
- (6) Oversee the development and implementation of common administrative systems, from an IRM perspective, in cooperation with the Assistant Secretary - Policy, Management and Budget, and the Head of the ASC selected to develop and/or implement the

system.

B. Heads of Bureaus will:

- (1) Ensure bureau compliance with the provisions of this chapter and all other related Federal and Departmental regulations.
- (2) Assure the validity of user needs for bureau mainframe acquisitions.
- (3) Perform periodic utilization analyses of bureau mainframe systems.
- (4) Ensure that bureau mainframes (except those designated as ASCs) are acquired and used to support only mission-oriented work and bureau-specific administrative systems. If bureau-specific administrative systems are offered to other bureaus or Federal agencies on a reimbursable basis, prior approval of the Assistant Secretary - Policy, Management and Budget is required.
- (5) Develop and maintain an inventory of all major bureau administrative and mission systems, as prescribed by 376 DM.11.
- (6) Promote sharing to avoid or reduce duplication of effort in the development and maintenance of bureau-specific administrative systems.
- (7) Ensure that the life cycle management (LCM) process is applied to all major automated information systems and mainframe technology investments within the bureau, as prescribed by 376 DM 10.

C. Heads of Administrative Service Centers will:

- (1) Provide the following services in support of common administrative systems: systems analysis, design, development, acquisition, implementation, training, operations, and maintenance.
- (2) Assure that computer and telecommunications services necessary to process the supported administrative systems are provided.
- (3) Coordinate the activities of the ASC with administrative organizations throughout the Department, the host bureau, and with other ASCs within the Department.
- (4) Assure that the LCM process is applied to common administrative systems developed and implemented at the ASC and to mainframe technology investments.
- (5) Develop and maintain continuity of operation plans (COOPS) to assure that users can continue to perform essential functions in the event their information technology support is interrupted. The COOPs will include procedures for backup storage and recovery of data and software, and for transferring operations to an alternate site.

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