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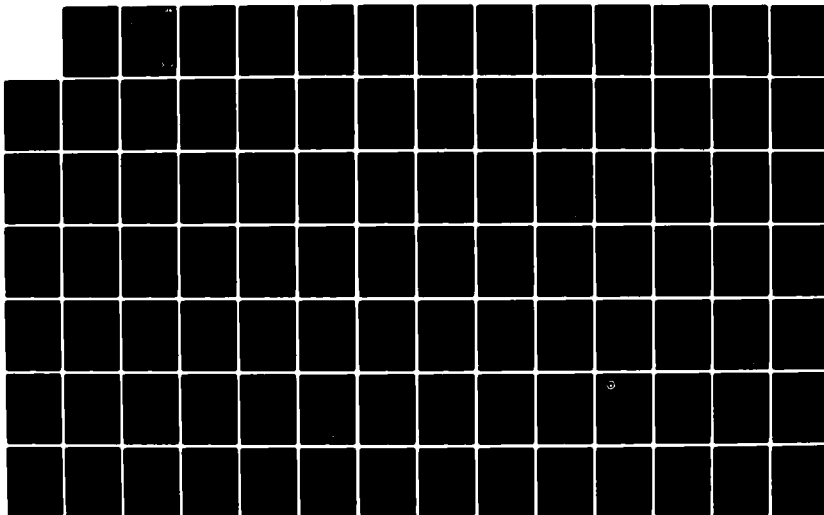
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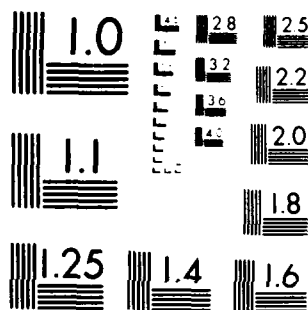
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**TECHNICAL LIBRARY
ACQUISITIONS:
REVIEW AND ANALYSIS**

**OFFICE OF SUPPORT SERVICES
TECHNICAL LIBRARY**

JULY 83

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TECHNICAL LIBRARY

ACQUISITIONS:

REVIEW AND ANALYSIS

Robert G. Billingsley
DTIC Technical Library
July 1, 1983

ABSTRACT

A study was conducted to review existing procedures, analyze problems, review alternatives and propose solutions relative to acquisitions at the DTIC Library. The expansion of existing OCLC services, the improvement of available equipment and streamlining procedures at DTIC and DASC purchasing offices are proposed as possible solutions. In a broader context this report may also serve other technical libraries as a case study in analyzing small library acquisitions problems.

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INTRODUCTION

The purpose of the DTIC Library acquisition function is the timely ordering of needed materials with funds disbursed to the vendors in a reliable and controlled manner. In this way the library can meet information needs while maximizing available resources. Unfortunately the effort of the library staff to provide such services is threatened (and in some instances, prevented) by the very process with which informational materials are acquired.

The content of this study is provided from analyzing library records and procedures. It is also derived from conversations with staff in the DTIC Budget Office (DTIC-M) and in DASC offices responsible for library material contracting, Installation Services (DASC-IS), and for financing library purchases, Accounting and Finance (DASC-F).

This study was initiated to accomplish four specific objectives:

1. Clarify the purpose of the library within the DTIC organization as a supplier of Library materials and as a Primary Level Field Activity (PLFA) of the DLA Headquarters Library.
2. Define problems encountered in the effort to acquire library materials for DTIC staff activities.
3. Outline the existing methods of record-keeping as well as the system requirements for purchasing library materials.
4. Analyze existing acquisitions procedures in terms of the system requirements.
5. Propose alternative solutions that could resolve acquisitions problems and also satisfy system requirements.

ORGANIZATIONAL ROLE OF THE DTIC LIBRARY

This mission statement was formulated to be compatible with DoD Directive 3200.12, DoD Scientific and Technical Information Program and DTICM 5810.1, Organization, Missions, and Functions Manual. (See APPENDIX A)

The DTIC Technical Library supports the mission and functional responsibilities of the Defense Technical Information Center. This support is in the form of publications and services to meet specific DTIC staff requests for information. Library service is intended to enhance the overall effectiveness of all DTIC activities. In a broader context as a Primary Level Field Activity Library of the Defense Logistics Agency, the DTIC Library cooperates with other DLA Libraries, DoD Libraries, and other Federal Libraries to aid and improve Scientific and Technical Information (STI) transfer among libraries in the DTIC User Community.

The objectives of the DTIC Technical Library to perform this mission are:

1. Provide management-related literature to support the planning, organizing, staffing, directing, coordinating, reporting, and budgeting of DTIC activities.
2. Collect materials in subject areas relevant to DoD Research and Development activities in Science and Technology.
3. Supply reference and current awareness materials in information technology to aid DTIC development staff in formulating system requirements, research and development of advanced techniques for DoD STI and information networks.
4. Collect and maintain the most current information on state-of-the-art ADP equipment, computer programming techniques, telecommunications systems, and ADP services.

5. Support the identification of DTIC User Community needs through communication with other Federal Libraries and participation in professional activities.

6. Assist DTIC staff involved in document services and products with information about reprography, work flow management, bibliographic description, and access. Assist DTIC reference staff in supplying alternative sources of information to meet the demands of the DTIC User Community for scientific and technical information delivery.

ACQUISITIONS

General System Description

Within the Acquisitions function at the DTIC Library there are four phases to every order (see FIGURE 1): preorder searching, ordering, checking and receiving, accounting and reporting. The following outline defines these processes.

A. Pre-Order Searching

1. Purpose - to determine if the item is already owned or ordered by the library and to gather correct ordering information about the requested materials.
2. Procedure - DTIC catalogs, DTIC order files, National Bibliographies (OCLC) and trade catalogs are checked for the appropriate information.
3. Result - need and availability of materials are determined.

B. Ordering

1. Purpose - to notify the vendor/publisher, DTIC-M, and DASC offices of desire to purchase the item.
2. Procedure - prepare DD Form 1155, Order for Supplies and Services, and send to DTIC-M for distribution to DASC purchasing offices and the supplier.
3. Result - order initiates action on the purchase.

C. Checking and Receiving

1. Purpose - to determine if the shipment of materials is correct and in acceptable condition, and to record receipt of materials.
2. Procedure - match order file information to materials received, and sign Purchase Order (DD Form 1155) as received.
3. Result - correctness of completed order is certified and recorded.

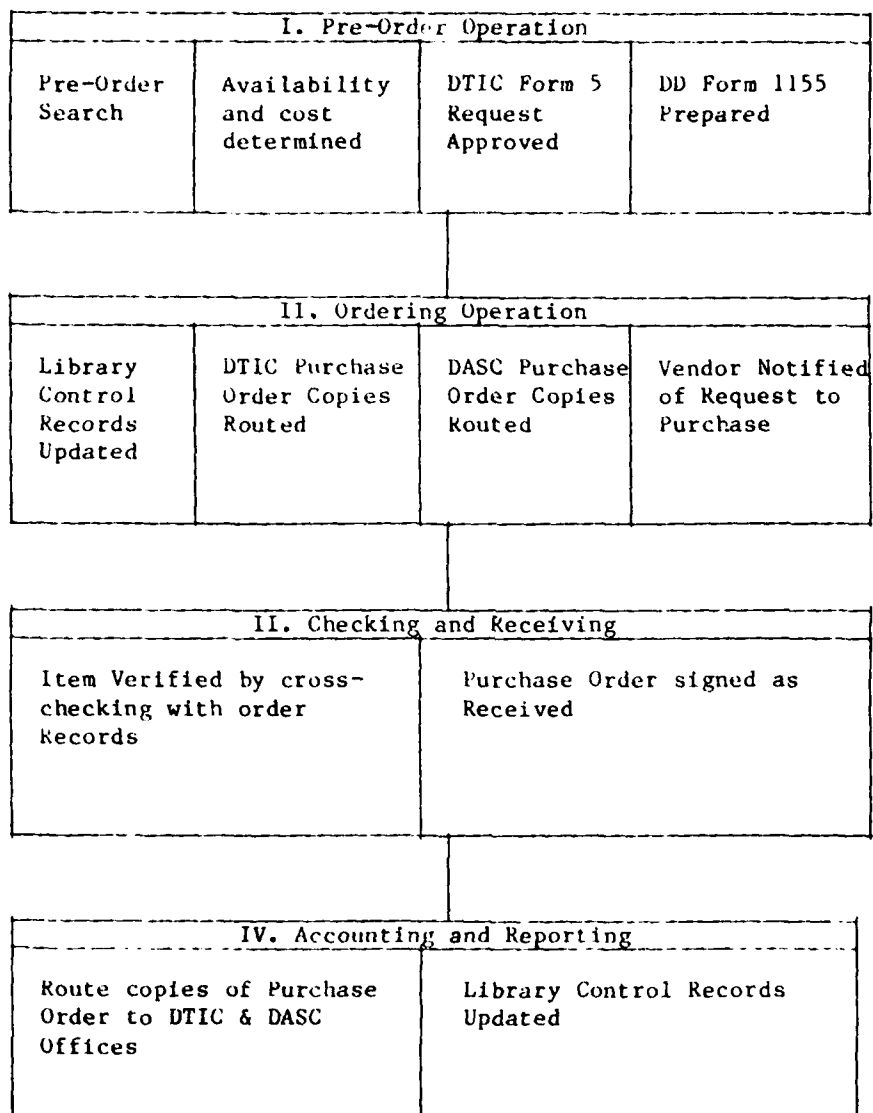


FIGURE 1. Four Phases of Acquisitions

D. Accounting and Reporting

1. Purpose - to notify accounting and financial offices in DTIC and DASC that the order is received and completed. A record of cost in the Library, and financial records in DTIC-M and DASC are brought up-to-date.
2. Procedure - send copies of purchase orders to Contracting (DASC-IS) and to Finance (DASC-F). File last copy of DD Form 1155 in the "Completed Orders" file in the Library.
3. Results--order status is closed and payments are disbursed from allocated funds by DASC-F. DASC-IS closes their record on the order and DTIC-M is notified by DASC-F periodically of expended library funds.

Within each of these four phases are many functions, decisions, and actions that take place for each order. (See FIGURE 2 and APPENDIX C) Under ideal circumstances the entire process may take as little as three weeks.

Unfortunately ideal conditions are rare. Orders from the DTIC Library appear to be gathered in DASC-IS for a period of time (2 weeks, usually) before being processed in batches.

Acquisitions Problems

As difficulties arise in acquiring library materials, extraordinary effort is necessary, at times, to bring individual orders back on track. In some cases, orders have been cancelled completely and new Purchase Orders have been generated to circumvent difficulties. In other words, a complete breakdown of the system's ability to acquire material has taken place. The number of orders needing follow-up action, with amendments to existing Purchase Orders, seems inordinately high. The following are examples of problems that have arisen:

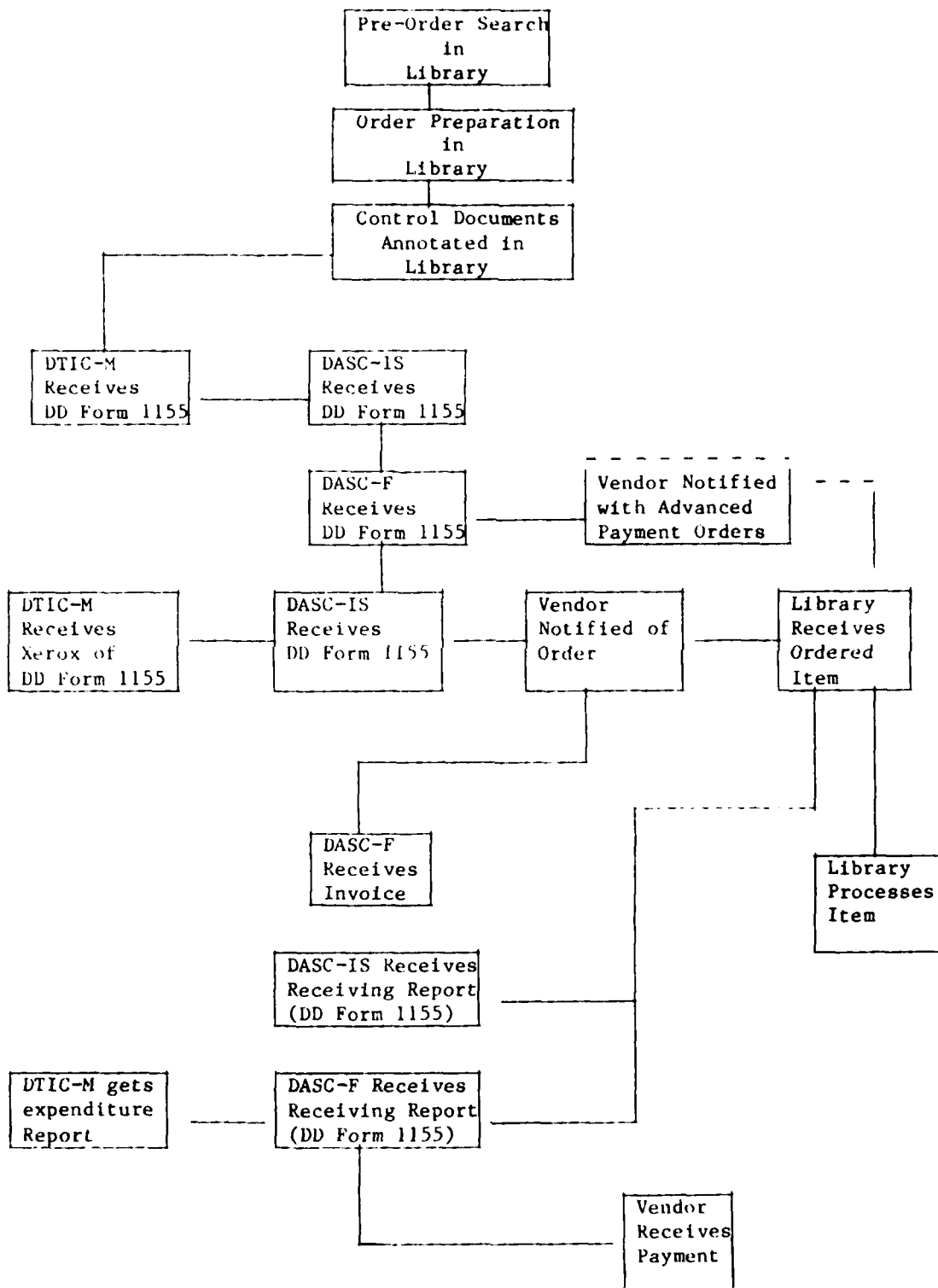


FIGURE 2. Flowchart of Present Method of Acquisitions

1. A trial subscription is received for a short period of time in the Library. The Librarian decides to maintain the subscription and a Purchase Order is processed on DD Form 1155. Upon receipt the publisher assumes the Purchase Order is for a new subscription, separate from the trial order, and begins sending duplicate copies of the same periodical.

Result: The Library must cancel one of the subscriptions by contacting the publisher and by generating a memo to Contracting (DASC-IS) who then processes a modification to the Purchase Order.

2. After routinely receiving a subscription it suddenly lapses. The publisher insists on payment before sending an invoice. Our Finance Office (DASC-F), in turn, refuses to issue payment before receiving an invoice from the publisher. To further complicate the issue the vendor now demands a higher price for the back issues of the periodical that the Library did not receive because the price of the subscription in the interim has risen.

Result: This type of stalemate usually requires some creative diplomacy on the part of the Library staff. Otherwise, the order will remain open indefinitely unless the problem is resolved.

3. The Budget Analyst, Esther DeVore, in DTIC-M (responsible for citing funds for Library purchases) encourages the Library to order subscriptions one or two months in advance to avoid breaks in receiving subscriptions. Subscription lapses can result from delayed payment to the vendor. The one exception to her suggestion comes at the turn of the fiscal year. Ms. DeVore's rationale is that FY 82 funds, for example, should not be used in September '82 to buy materials that will be received in October '83 (the following fiscal year). This logic is not compatible with the Library's practice of ordering multi-year subscriptions--a practice which is authorized in Title 31, section 530a, U.S. Code of Laws: "Subscriptions or other charges...may be paid in advance from appropriations available."¹

Result: The Library is forced to hold subscription orders until October. By the time processing is completed for these orders the Library may miss some issues because of delayed payment to the vendor.

4. A Purchase Order (DD Form 1155) is inadvertently misrouted among offices in DASC. Since the Library regularly expects an order to take anywhere from two to six weeks to process, no notice is taken until too much time has passed.

Result: The ordered item is delayed and may no longer be needed by the requester when it is finally received.

Most difficulties with library acquisitions, especially with the problems presented here, result from a lack of positive communication. Subscriptions are the most error prone because of their continuous nature, but orders for books and memberships are also occasionally affected. Roughly 18% of all purchases in FY82 required Modifications to Purchase Orders. A contracting analyst in DASC-IS estimates the average cost to DLA for a modification to be approximately \$75.00.² With 51 modifications processed for the DTIC Library last fiscal year this cost exceeded an estimated \$3800 for changes to library orders. Of those modifications, half were processed to cancel library Purchase Orders. This additional cost of unnecessarily ordering items in the first place must also be added to the total cost of acquisition problems. Unfortunately, the intangible cost to library users for information not received on time (or not at all) cannot be estimated precisely, yet some cost must be assumed for this loss.

²DLA Administrative Support Center, Minutes of telephone conversation with Rose M. Combs, DASC-IS, 7 Jan 83.

RECORD KEEPING PRACTICES

Description of Files

Library purchases are maintained in a number of different files. Each file applies to a different stage of completion for each order processed. The following list describes each file and its purpose:

1. DTIC Form 5 (books) pending - a file of approved requests for library materials pending completion of the ordering process. DTIC Forms 5 are maintained alphabetically by title. This is one access point to use for following up on an order when the title of a book is the only information available. (See APPENDIX B)
2. DTIC Form 5 (subscriptions) pending - serves the same purpose as the pending DTIC Form 5 for books, except this file is for subscriptions and memberships.
3. DD Form 1155 (books) pending - a file of Purchase Order forms returned from DASC-IS after the order has been sent to the vendor. This file indicates those items that have been approved for purchase and it is maintained in DTIC order number sequence. (See APPENDIX B)
4. DD Form 1155 (subscriptions) pending - serves the same purpose as the books DD Form 1155 file except this file is for subscriptions and memberships. (See APPENDIX B)
5. Reports Control Register - a list of technical reports ordered from either NTIS or DTIC to indicate pending orders and orders received. Requests are entered into the list in chronological order as they are ordered.
6. Control Register (books) - lists orders by DTIC number (assigned when order is prepared) for books. Other information includes DLA Purchase Order number, official date of order (assigned by DASC-IS), date received, vendor, and short description of item. (See APPENDIX B)
7. Control Register (subscriptions) serves the same purpose as previous file except it lists subscriptions and memberships.
8. Completed Order File (books) contains copies of DD Form 1155 indicating that the materials have been received and that the order is closed. These are filed in DTIC order number sequence.

9. Completed Order File (subscriptions) - serves same purpose as previous file except it contains copies of Purchase Orders for subscriptions and memberships.

10. DTIC Form 5 (books) completed - contains copies of DTIC Form 5 for books that have been received. This file is maintained in alphabetical order by title to serve as a cross-index to the completed DD Form 1155 file for books.

11. DTIC Form 5 (subscriptions) completed - serves same purpose as previous file except it contains DTIC Forms 5 for subscriptions and memberships.

12. Online Computer Library Center (OCLC) - This online system includes bibliographic citations and location information for books, subscriptions and other media. When an item is searched for in OCLC, there is an immediate indication if the DTIC library owns the item. All new books are entered into the OCLC system which generates and sends catalog cards for these items to the DTIC Library.

13. JOUR (a database using BASIS on the UNIVAC 1100/60) - all DTIC subscriptions (active or no longer received) are entered into this database through the dial-up Texas Instruments terminal in the Library.

14. Renewal notices - a file of renewal notices, received from the publishers before the periodical due date, are kept in a tickler file by expiration date, and attached to the Purchase Orders when payment is due.

15. Library Accessions Register - all books and bound volumes of subscriptions are entered with all the relevant purchasing information and then assigned unique accession numbers. (See APPENDIX B)

16. Card Catalog - Purchasing information is entered into the Shelf List of the DTIC Library Card Catalog. (See APPENDIX B)

17. Periodical Record - a cardex file is maintained to indicate which issues of a subscription have been received in the library. (See APPENDIX B)

In total, 17 different files must be used in the library to process library acquisitions. The following table illustrates the duplication of purpose that exists for these files.

LIBRARY FILE TYPE	BOOKS	SUBSCRIPTIONS	REPORTS
DTIC Form 5	1. Pending Requests	2. Pending Requests	0
DD 1155 Purch. Ord.	3. Pending Orders	4. Pending Orders	0
Control Register	6. Books Register	7. Subsc. Register	5. Report Register
Completed File	8. Compl. Book Orders	9. Compl. Subsc. Orders	0
Completed File	10. Compl. Book Req's	11. Compl. Subsc. Req's	0
Automated System	12. OCLC	13. JOLR	0
Invoice File		14. Renewal Notices	0
Receipt Records	15. Accession Ledger	17. Periodical Record	0
Bibliographic Rec	16. Card Catalog	17. Periodical Record	0

TABLE 1. Summary of Library Acquisition Files.

There are 10 copies of the form DD Form 1155 used to process each book or periodical order through the offices of DTIC and DASC. One copy is sent to the vendor from DASC and the DTIC Library keeps a copy as a record of items ordered. The remaining eight copies are distributed to DTIC-M, DASC-IS, and DASC-F. This increases the total number of files in DTIC and DASC for any order to twenty-four. Reports are ordered through a deposit account and do not require Purchase Order forms to be circulated through DTIC and DASC.

REVIEW OF FILE PROCESSING

File Duplication

The first five files for books listed in TABLE #1 are identical in nature to their counterparts for subscription orders (compare 1, 3, 6, 8 and 10 to 2, 4, 7, and 9 on the table). The information in the Accessions Ledger for books is similar to the Periodical Record (17) in that it is used to identify exactly which items have been received. The Subscription Register contains virtually the same information as the JOUR database (13). Further, the information in the OCLC database (12) now generates the cards which are filed in the Card Catalog (16). Therefore the information is not just similar; OCLC is now the source of cards for the Card Catalog at the DTIC Library.

The Purchase Order Paper Trail

The routing procedure is easier to visualize in FIGURE #3 (the numbered steps on this chart will be referenced in the text of this analysis within parentheses). There are two basic phases--initial routing for purchase and a second routing to notify that the materials have been received.

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ROUTING OF PURCHASE ORDER FORM DD 1155

Initial Routing

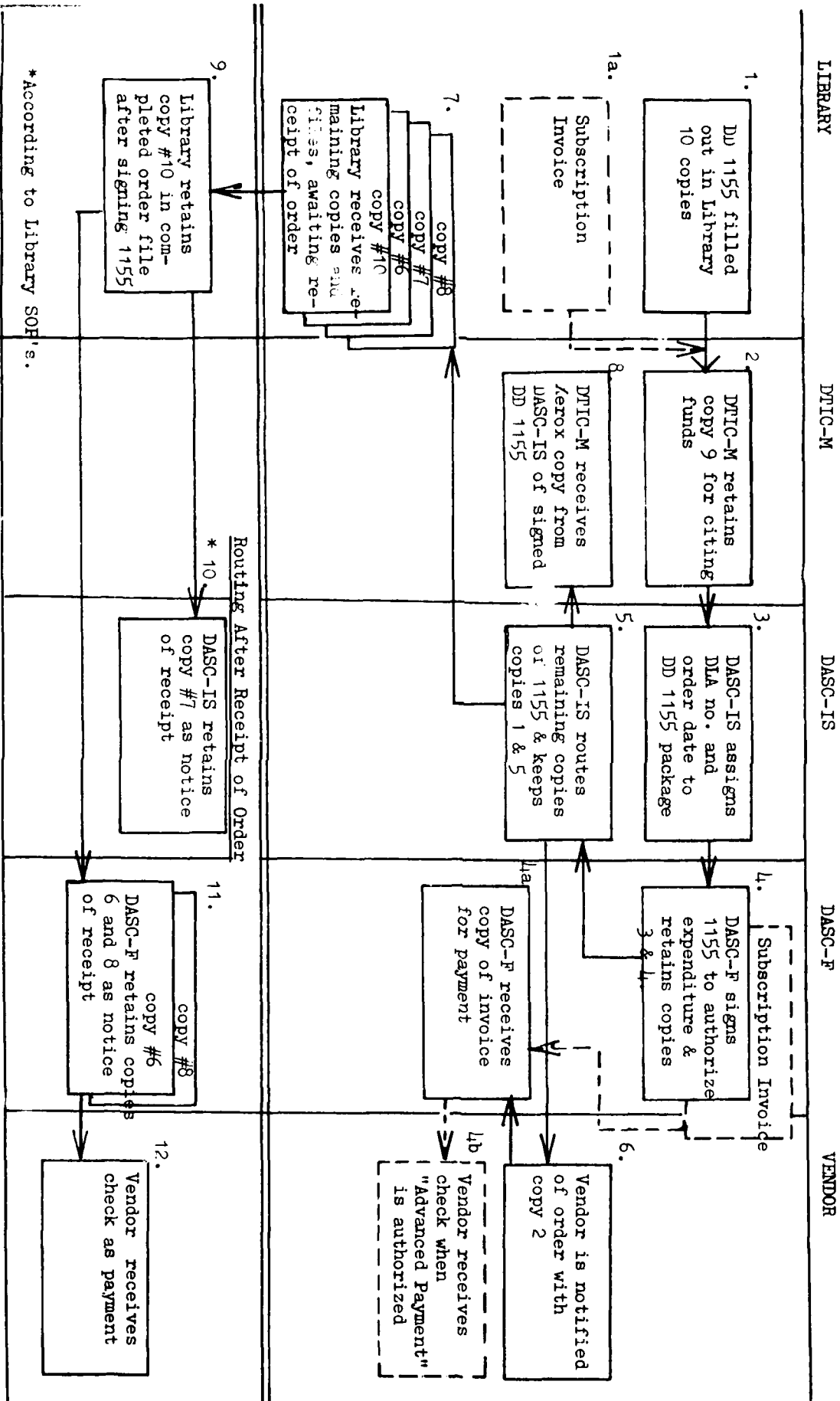


FIGURE 3. Distribution of Purchase Order forms (DD 1155).

Initial Routing

After approval for purchase is obtained on the Library Request for Materials (DTIC Form 5), the Library Technician prepares a DD Form 1155 Purchase Order (original and nine copies) (1) (See example of completed form in APPENDIX B). The complete Purchase Order is forwarded to DTIC-M where the Budget Analyst verifies the fund citation numbers in block #17 of the form (2). In the case of prepaid orders an invoice or subscription renewal notice must accompany the Purchase Order (1a). The Budget Analyst pulls copy 9 as a record for citing funds by object codes and forwards the remainder to DASC-IS within two or three days.

In DASC-IS the Contracting Officer assigns the DD Form 1155 a Purchase Order number and enters it into Block 1. A date of order is entered in block 3 and the "Contracting/Ordering Officer" signs in block 24 to authorize the purchase (3). The entire Purchase Order packet is then forwarded to DASC-F. Turnaround time for this phase has been estimated by one Ordering Officer in DASC-IS to take from two to six weeks. This is the lengthiest interval in the entire process for ordering an item for the Library--a predominate bottleneck.

DASC-F certifies the order with a signature by the Accounting and Finance Officer in Block 17. Two copies are retained before returning the remaining copies to DASC-IS (4). Certification in DASC-F usually takes from one to three days. In the case of prepaid orders DASC-F will retain an invoice with their two copies of the Purchase Order and issue a check immediately to the vendor, without waiting for an indication that the item has been received in the Library.

Upon return to DASC-IS the first and fifth copies of the Purchase Order are kept (5) and copy 2 is sent to the vendor as an official request for the item (6). The remaining copies, 6, 7, 8, and 10 are returned to the Library (7) where they are filed until the ordered materials are received. An additional xerox copy is made of the Purchase Order by DASC-IS and it is sent to the Budget Analyst to notify that the materials have been ordered (8). This gives the Budget Analyst at DTIC the official date of order and the DLA purchase number. This part of the process takes another one to four days to complete.

Routing After Receipt

After the Library receives and verifies an order, copy 10 is retained in the completed order file (9) and copies 6 and 8 are sent to DASC-F to notify them that the order may now be paid (11) via check to the vendor. In the case of subscriptions this step is unnecessary since these orders are usually paid in advance (yet, it has been the practice of the Library to send DASC-F these copies anyway). If DASC-F does not have an invoice for the order, a check will not be issued even if the item has been received. After thirty days DASC-F will send a form letter to the vendor requesting an invoice so that the transaction may be completed. Sometimes, DASC-F will send a form letter to the vendor requesting an invoice for the Purchase Order to be completed (without notifying the Library that this documentation is lacking). Vendors send invoices and subscriptions renewal notice to either the Library or the "bill to" address (DASC-F) entered on the Purchase Order form, and they do this in no consistent pattern.

This table summarizes the distribution of DD Form 1155 copies:

OFFICE NAME	COPY NUMBER	TOTAL NUMBER OF COPIES
Library	10	1
DTIC-M	9 & 1 xerox Copy	2
DASC-IS	1, 5 & 7	3
DASC-F	3, 4, 6, & 8	4
Vendor	2	1

TABLE 2. Distribution of DD 1155 copies

The two end points of the process, the Library and the vendor, require the least number of copies of the Purchase Order.

Consolidating Orders

The above procedure is followed for nearly every book, every subscription, and every membership. Overall, 324 items were ordered on 273 Purchase Orders in FY 82. Whenever possible, the Library tries to group requests by publisher to minimize the number of Purchase Orders and thus reduce paperwork. Yet, there is a limit to how much of this consolidation of orders to publishers can be done within the confines of demand and timing. For example, 117 books were ordered from 53 different sources on 92 Purchase Orders in FY 82. Had all the requests for books come into the Library in one batch, the number of Purchase Orders would have been reduced by nearly half. Such a situation is improbable because the demand for books is spread out over the fiscal year. Therefore, it can not be predicted how many books from the same source will happen to come into the Library at any given time for any given publisher. The situation is worse for periodical subscriptions. While the proportion of purchase orders to book vendors is 92 to 53, the number of orders for subscriptions in FY 82 was 181 from 159 different vendors. This means that if the number of orders could be reduced to one per vendor, the reduction in paperwork is not substantial. Only 22 fewer Purchase Orders would have been processed.

INFORMATION REQUIREMENTS BY OFFICE

This table summarizes the information requirements for a purchase, the offices that need the purchasing information and the block numbers on the DD Form 1155 that satisfy those information requirements.

DD 1155 BLOCK NO.	BLOCK TITLE	DTIC LIBRARY	DTIC-M	DASC-IS	DASC-F	VENDOR
1.	Purchase Order No.	X	X	X	X	X
3.	Date of Order	X	X	X	X	X
4.	DTIC Number	X	X		X	
9.	Contractor Info.	X		X	X	X
14.	"Ship To" Address			X	X	X
15.	"Bill to" Address			X	X	X
16.	Delivery Instruc.			X	X	
17.	Accounting Info.		X	X	X	
19.	Schedule of Supp.	X	X	X		X
20.	Quantity of item	X	X	X	X	X
22.	Unit Price	X	X	X	X	X
23.	Sub Total	X	X	X	X	X
24.	Contr. Ofcr, Sign.		X	X	X	
25.	Total Cost	X	X	X	X	X
26-27	Receiving Info.	X			X*	
28	Voucher No.		X		X	X
32-42	Payment Info.		X		X	
N/A	Invoice Document		X**		X	

TABLE 3. Summary of Information Requirements by Purchase Order Block Number

*Subscription Receiving information needs clarification. Receiving reports do not appear to be necessary for pre-paid materials.

**This may not be necessary. It is presently done to assure the Budget Analyst that an invoice does exist for a pre-paid item.

The following narrative presents what information each office needs from the Purchase Order form and from the invoice. This explanation should be used with reference to the above and to FIGURE #3.

DTIC Library

The DTIC Library initiates the Purchase Order by filling in almost all blocks except for signatures provided by other offices. Normally, a Purchase Order is prepared by DASC-IS in response to a DLAH Form 52 (Request for Purchase). DASC-IS then types the DD Form 1155 Purchase Order form. The libraries at Cameron Station have traditionally typed these forms for DASC-IS to expedite processing and to assure that correct vendor information is entered onto the form. DASC-IS is not presently equipped to verify vendor and cost information for books and subscriptions on the Purchase Order form. DLA Purchase Order numbers and the official date of order are entered by a Contracting Analyst in DASC-IS, but the Library usually uses these numbers only to perform follow-up action on problem orders. The DTIC number is provided by the Library from an authorized list in DTIC-B. The Library maintains Purchase Order files by this numbering system. Of course, Vendor Name & Address, the Schedule of Supplies, Cost Information and Receiving Information blocks are all important to the Library for identifying Purchase Orders when items arrive from vendors.

DTIC-M Budget Office

The Budget Analyst in DTIC-M is largely concerned with the correctness of the fund numbers cited in Block 17, Accounting Information, as well as cost of the items, in order to maintain current information on the funds obligated and expended. After the Contracting Officer in DASC has assigned a DLA Purchase Order Number and Date of Order to the form, the Budget Analyst is sent a xerox copy of the Purchase Order to aid in tracking funds. Although the Budget Analyst requires that an invoice be attached to a Purchase Order for a subscription or prepaid order from the Library, she does not keep a copy of it, but leaves it attached to the Purchase Order when forwarded on to DASC-IS. DTIC-M periodically receives a printout of expenditures for DTIC funds from DASC-F. This provides the Budget Analyst at DTIC the ability to determine how much of the obligated funds have actually been expended.

DASC-IS

The Contracting Officer in DASC-IS enters the official order date and DLA Purchase Order number onto the form. This office is chiefly concerned with the correctness of all information entered on the Purchase Form by DTIC offices since the Contracting/Ordering Analyst has the official responsibility for knowing what is being purchased and how it should be purchased (ASPM No.2 2-3, See APPENDIX A). Despite this responsibility, incorrect information for book and serial vendors cannot be corrected by this office, since they presently do not use any of the standard references necessary for this purpose. The information provided by the Library must be trusted for reliability. Rose Combs, the Contracting Officer who usually

handles library orders, has admitted that she has no responsibility to account for the actual receipt of items ordered. She is also not concerned about the invoices attached to advanced payment orders, and sees no need for filing Receiving Reports or invoices in DASC-IS.

DASC-F

DASC-F references orders by vendor, DLA Purchase Order number, and Date of Order. This office is concerned with the cost of an item and when it was received. DASC-F certifies the Purchase Order and issues checks to vendors to pay for materials received. The Payment Information and Voucher number is supplied by this office. Before authorizing the release of funds, an invoice must be "in-hand" to supply documentary evidence of the authenticity of the order. The Examining Analysts in DASC-F would prefer to have the library reference the invoices with a DTIC number and send these directly to their office as soon as received, regardless of when the Purchase Order is generated. They feel it is unnecessary to attach the invoice to the DD Form 1155 Purchase Order form, as requested by the Budget Analyst, because they frequently get the invoice directly from vendors (DASC-F is cited in the "Bill to" block of the DD Form 1155). DASC-F has an established procedure for collating DD Forms 1155 with vendors' invoices.

DASC-F requires three copies of the DD Form 1155 as Receiving Reports (one each for accounting, disbursement, and auditing) to indicate that the Library has received the ordered materials and that payment can be made. Yet in the case of subscriptions, no receiving report is considered necessary since payment is made in advance of receiving the item on the strength of a renewal notice or invoice.

Vendor

The vendor or publisher receives an order in the form of copy 2 of the DD Form 1155 from DASC-IS. The vendor of the Library materials (entered into Block 9 of DD Form 1155) usually references the DLA Purchase Order number in handling the order. The most important areas of the Purchase Order form for the vendor's purposes are the "Ship to" and "Bill to" addresses, Schedule of Supplies, Quantity, and Cost Information. When the vendor responds to the order by shipping and billing, the invoice becomes an important requirement in the process when it is returned to the vendor with payment. A copy of the voucher and the check are sent to the vendor from DASC-F.

SUMMARY ANALYSIS

Ordering

The most time-consuming step in the ordering process is when the DD Form 1155 is routed to DASC-IS through DTIC-M. Although the Purchase Order may only take a few days to get through DTIC-M, it may sit in labels anywhere from two to six weeks depending on their backlog.

In the ordering phase of acquisitions, the Library has no direct contact with the vendor. According to Armed Services Procurement Regulation 1-4.2, only an officially designated Contracting Officer or Contracting Representative may order directly from the vendor (see APPENDIX A). Yet, whenever a problem does arise with regard to an order, the Library is saddled with the problem and must then deal with the vendor directly. There is a situation where the Library may contact the vendor directly to order materials. An exception exists for ordering materials through "written telecommunications media". "A written telecommunicated purchase order is an order for supplies or services which is electrically transmitted to a supplier and which is not signed by the Contracting Officer." (DAC #76-16 1 Aug 1978, see APPENDIX A)

Receiving Reports--Books

The Library is also responsible for receiving materials and reporting their receipt to the Accounts Payable Office of DASC-FED. In the case of books, an item may not be paid for until the Accounts Payable Office has two documents:

- a) An invoice for the material from the vendor.
- b) A copy of the Purchase Order signed by a Library staff member indicating that the ordered materials have been received.

Receiving Reports--Subscriptions

In the case of subscriptions the situation is different. DASC-F pays for subscriptions when "Advanced Payment" has been authorized. DASC-F requires the following to pay for subscriptions:

- a) a copy of the Purchase Order designated as "Advanced Payment Authorized" but not signed as received.
- b) A copy of the vendor's invoice or subscription renewal form.

Recently the Library was contacted by DASC-F and requested, specifically, not to send Receiving Reports for subscriptions. The request was based on the fact that when DASC-F has an invoice, a copy of the Purchase Order and evidence of a check or voucher number, nothing more is needed to satisfy their auditing requirements. When DASC-IS staff were questioned on the disposition of Receiving Reports, they indicated that not only were Receiving Reports for subscriptions unnecessary, but as far as their requirements were concerned, no Receiving Reports needed to be routed to them at all.

U.S. Code authorizes advance payments for tuitions and subscriptions in 31 U.S.C. 530a. This implies that notice of actual receipt is not relevant to this type of purchasing activity.

System Inflexibility

Publishers approval plans and trial subscriptions are not possible under the existing procedures. Such purchase plans enable the Librarian to evaluate materials before purchasing, and help to avoid unnecessary cancellation of Purchase Orders due to the material being inappropriate for the collection. The Budget Analyst of DTIC-M, characterized these library purchase options as "not good business". In the field of library procurement such plans are commonplace. Her opinion is not based on procurement law but on what she termed as an "understanding" of a recent memo from DASC-1, dated 16 Jul 83. (See APPENDIX A)

The memo states that contracts entered into by non-designated contractors are illegal contracts. She feels that the Library violates this directive by receiving materials before the Contracting Office has ordered them.³ It is unfortunate that this interpretation of the DLA memorandum prevents the Library from taking advantage of such cost-saving purchase plans.

System Feedback

By far, the most serious problem is the lack of communication among organizational units involved in the acquisitions process. More immediate access to the status of an order is needed. Invoices have been known to become separated from Purchase Orders as they make their way along the paper trail from one office to the next. When this happens with subscription orders, the Library is not aware of the mistake when the Purchase Order reaches DASC-F. That office may assume there is no invoice or renewal notice available. DASC-F will then place the Purchase Order in a pending file, expecting the invoice to arrive eventually without further action. Many problems could be avoided if this lack of a required document was communicated to the Library.

Periodically, DASC-F will review these files of incomplete transactions and notify the vendor, not the Library, that an invoice is needed. In the meantime, the subscription that needs renewing may lapse or the book that was needed for a specific activity may no longer be needed by the person who originally made the request. Frequently, DASC-F receives invoices directly from the publisher before receiving a Purchase Order, but fails to communicate this to the Library. This results in the Library staff trying to get a replacement invoice when one is already filed with DASC-F.

The system of routing purchasing information is fragile and a breakdown at any point during the routing of a purchase action brings the order to a standstill. The Budget Analyst has required that the invoice or renewal form for a subscription be attached to the Purchase Order before processing. Although the idea has merit, it assumes that in the two to six weeks a request resides in DASC-IS the documents will not become separated before being forwarded to DASC-F. DASC-F has requested the Library to send invoices directly to them before routing the Purchase Order through DTIC-M and DASC-IS. Also, the Budget Analyst in DTIC-M has admitted that the invoice is chiefly a requirement for the benefit of DASC-F, but still insists that it be attached to the DD Form 1155 before routing the Purchase Order. This is one example of a conflict of information requirements among offices in DTIC and DASC.

Management Information System

The most immediate problems of record-keeping within the Library need to be resolved. As this analysis of the records indicates, there is too much duplication of information among the files. The most uncomplicated, ideal situation is to keep all paper documents for ordering materials in one file by DTIC number, while creating multiple types of access to the documents' physical locations through automated indexes.

Two basic factors are responsible for the multiple files now located in the DTIC Library--order status and nature of the ordered material. Order status (item requested, ordered, pending, closed, etc.) dictates where a record is kept at any given time, yet, there is not enough information in the Library Control Register to locate documents reliably. Secondly, the nature of the ordered material (book, subscription, membership) creates parallel record-keeping systems and procedures. There are separate requested, ordered, pending, closed, and cancelled files for books and subscriptions. All orders have unique DTIC numbers. If the nature of any item can be determined through a system of access that would also provide the physical location of the DD Form 1155 in the DTIC numbering sequence, there is no reason to have separate files for these materials by media type.

Funding Information

At this time the only funding information available in the Library's record-keeping system is the cost of each item ordered. The Library is not apprised regularly of the actual amount of remaining funds available by the Budget Office. Last year, when DLA set a deadline for FY '82 fund encumbrances, the DTIC Library was not informed of the funding cut-off date until after the deadline. This resulted in orders being returned to the Library from DTIC-M with the instruction that the orders must be placed on FY 83 funds. This lack of communication prevents the Library Staff from having accurate funding information to develop the Library collection in a coordinated, well-timed, and balanced manner. At best, totals can be periodically calculated from the Library's own purchase records, but this only yields a rough estimate of available funds, due to unpredictable per item charges for taxes, handling, and shipping. This lack of funding information results in the Library staff simply spending money until the funds are depleted (or not depleted by the end of the fiscal year).

PROPOSED ALTERNATIVES

General Statement

All library activities fall generally into three basic categories-- Acquisitions, Cataloging, and Circulation. Acquisitions encompasses searching, selection, ordering, claiming, receiving, payment, and accounting for library materials. The Library staff can have complete control over the cataloging and circulation functions but acquisition not as easy to control. The area of acquisitions involves financial policies and procedures required by DTIC, DASC, the larger organization of DLA, and a multitude of vendors. Therefore any changes to acquisition procedures must take these organizational requirements into account. Because of the interdependence of the three basic functions in library service, mentioned above, any changes to acquisitions must also take the impacts on cataloging and circulation into account. TABLE 4 illustrates the basic differences among the proposed alternatives.

PROCEDURE	PRESENT METHOD	OCLC	JOUR	DBBERS
A. Pre-order Search	<ol style="list-style-type: none"> 1. Check Card Catalog and Control Register for duplication. 2. Search Publisher Catalogs or OCLC. 3. Verify source, cost etc. 4. Transcribe information by hand. 	<ol style="list-style-type: none"> 1. Duplication check, searching and verification are a one-step procedure. 2. Information is automatically brought on to online work form. 	<ol style="list-style-type: none"> 1. Same as present method. 	<ol style="list-style-type: none"> 1. Same as present method unless dealer is willing to write form thus: _____.
B. Ordering Material	<ol style="list-style-type: none"> 1. Type DD 1155 form on Word Processor. 2. Enter vendor name and address and purchase information. 3. Record purchase on control register. 4. Mail/route DD 1155 to DTIC-M for citing of funds. 5. File pending request form. 	<ol style="list-style-type: none"> 1. Input vendor code, "ship to" code and fund code into fields in online workform. 2. DTIC-M and DASC automatically sent copy of workform. 3. Pending request workform is maintained online, automatically. 	<ol style="list-style-type: none"> 1. Same as present method except: -some address information maybe transferred automatically to DD 1155 2. Pending request information automatically filed in database. 3. DD 1155 routed to DASC and DTIC-M, same as present manual method. 	<ol style="list-style-type: none"> 1. Contact dealer by letter or phone call. 2. Some subscription agents have online ordering, from library to vendor.
C. Receiving	<ol style="list-style-type: none"> 1. Search in process files and control log. 2. Post receipt in control log. 	<ol style="list-style-type: none"> 1. Search order online. 2. Input receiving information into work form online. 	<ol style="list-style-type: none"> 1. Search JOUR for order, online. 2. Input receiving information in record. 	<ol style="list-style-type: none"> 1. Same as present manual method.
D. Accounting and reporting	<ol style="list-style-type: none"> 1. Send copies of DD 1155 to DASC-FED for payment. 2. Send copy of DD 1155 to DASC-IS to close order. 3. File DD 1155 in closed file. 4. DTIC-M balances funds with information from DASC-F. 	<ol style="list-style-type: none"> 1. DASC and DTIC-M sent print of workform to close accounts and disburse funds. 2. Funds are automatically balanced, online. 3. Monthly report goes to DTIC-M of all purchase. 	<ol style="list-style-type: none"> 1. Same as present method. 	<ol style="list-style-type: none"> 1. Same as present manual method except: <ol style="list-style-type: none"> a. fewer invoices b. fewer purchase orders c. fewer checks issued.
E. Estimated Costs				
1. Annual	1. \$20,475	1. \$409	1. \$20,475	1. \$2,800-\$5,200
2. Equipment and time fees.	2. 0	2. \$2,500	2. \$2,500	2. 0-\$4,000
3. Total	3. \$20,475	3. \$2,909	3. \$22,975	3. \$2,800-\$9,200

TABLE 4: Comparison of Acquisitions Alternatives

Explanation of costs in TABLE 4. All estimations are based on FY 82 statistics for Library Acquisitions.

Present Method

Administrative costs for processing a modification to an order have been estimated by DASC-IS to be approximately \$75.00. Since this includes only DASC and DTIC-M activities in the processing of DD Form 1155 information and does not include Library costs for generating an order it is thought to be more valid for comparison to other methods of acquisitions where costs for existing library in-house activities are also not a factor.

OCLC

1. Annual costs are based on an average OCLC processing charge of \$1.50 for 273 Purchase Orders. This assumes that the number of Purchase Orders will remain constant for the Library. More detailed analysis of DTIC-M and DASC procedures must be conducted to determine the savings in administrative costs.

2. One-time costs include the Federal Library Committee charge of \$500 for start-up and \$2,000 for a terminal printer.

JOUR

1. Since JOUR is not expected to change the procedure for routing DD Form 1155 through DTIC-M and DASC, the administrative costs are expected to remain the same.

2. This reflects the cost of a printer and approximately 40 hours of development by a Computer Analyst (GS-12).

JOBBER

1-3. These costs are expressed in ranges to reflect the variety of jobber situations that are possible. At one end of the cost continuum would be the estimated charges by an agent for subscription services (plus the administrative costs for a percentage of the orders the agent will not process and that must be processed using the present method). At the high end is the estimate for a subscription service's automated system in the Library (e.g. Brodart's Online Acquisition System).

Library Automation

Elements of automating library activities appear among the suggested alternatives described below. There are a number of expectations of automated systems that motivate the consideration of such technology.⁴

These are:

1. Elimination of backlogs.
2. Reduced cost of processing.
3. Quicker order writing and material receiving.
4. Improved funds control.
5. Expansion from existing technologies in other library functions to include acquisitions (i.e., augment a circulation or cataloging system to accommodate acquisitions).
6. Improved management information for improving collection development and maximizing available resources.
7. Achieving compatibility with other libraries in order to share resources mutually.

Any consideration of an automated system and its features should take these expectations into account and should be evaluated on how many of these desirable traits are included in system performance.

Turnkey Systems

The alternatives explained here were chosen on the basis of the practical immediacy with which they could be implemented. So-called "turnkey" systems are available in a wide variety of configurations and prices. In most cases these systems would require a complete change in record keeping practices. The high cost of equipment, software, retrospective adjustment of procedures

⁴Richard W. Boss, Automating Library Acquisitions: Issues and Outlook (White Plains, NY: Knowledge Industry, 1982), p.8.

and record conversion at the DTIC Library make turnkey systems less attractive as alternatives. Further consideration of these systems would require more in-depth analysis and comparison.

I. ONLINE COMPUTER LIBRARY CENTER (OCLC)

Acquisitions Subsystem

A. Description

The Acquisitions Subsystem of the OCLC enables a library to do the following in an automated fashion.

1. Place orders for all types of bibliographic materials by creating online records for in-process materials and by generating hard copy order forms to suppliers.
2. Renew subscriptions.
3. Request a price quote for a publication.
4. Send prepaid orders.
5. Cancel orders.
6. Create and adjust fund records with complete security from other OCLC users.
7. Receive periodic fund reports.

B. OCLC Acquisitions provides immediate online access to the following:

1. Shared bibliographic and vendor address information.
2. Current funding information.
3. Up-to-date management information and order status.
4. Cumulative reports of library purchases.

C. Structure

The subsystem for acquisitions is comprised of three basic parts:

1. Name Address Directory (NAD)--Online Directory of Suppliers' Names and Addresses.
2. Ordering Component--Generates orders automatically using bibliographic information from the Online Union Catalog.
3. Funds Component--Automatic transfer of funding information when materials are ordered.

9. Ordering materials is performed by:

1. Finding a citation for the desired item in the Online Union Catalog or creating a record if one does not exist for the item.
2. Entering funding information and cost for the item.
3. Entering the dealer's code number from the NAD to the order form online.
4. Transmitting the order electronically to the order file, and thus creating an official transaction.

An order "Action Form" will be mailed by OCLC on the following day to the supplier with copies sent to any offices or organizations specified by the Library (See Figure #4). Orders are cancelled by simply changing the status field on the online order from "active" to "cancel". This will generate a hardcopy cancellation form from OCLC directly to the vendor and the offices specified by the user. No costs are incurred for transactions that do not result in the transmission of hard copy Action Forms. Thus, if the system is used for internal record keeping only, the system is virtually free of charge (after the start-up costs).

E. Equipment

OCLC services are presently utilized through a Beehive 105 terminal in the library for Cataloging, Reference, and Interlibrary Loans. Therefore, no additional terminal equipment must be purchased to implement the Acquisitions subsystem. Nevertheless, there are a number of times when information in OCLC must be copied by hand from the terminal. A printer would enhance the effectiveness of OCLC functions as well as the Library's in-house database (JOUR). The initial investment in the existing OCLC services becomes more cost-effective by extending that capability without adding appreciably to equipment or service charges.

F. Library Staff

1. Library staff effectiveness is increased in these ways:
 - a) Library technical processes in Interlibrary loans, Purchasing and Cataloging are integrated into one system.
 - b) Follow-up action is enhanced with purchasing records located and coordinated in one online filing system.
 - c) Electronic mail facilities increase communication effectiveness with DTIC and DASC financial offices.

2. Staff workload can be decreased in these areas:

- a) Repetitive typing of bibliographic, ordering, and address information is eliminated.
- b) Pre-order searching and ordering operations are combined into one single procedure.
- c) Manual maintenance of order files is substantially eliminated.
- d) The time span between a patron's request for an item and the actual receipt of the requested material is reduced.
- e) Receipt of unintentional duplicate orders can be reduced through real-time order duplication checking.
- f) The time devoted to written correspondence with publishers and vendors can be reduced through the use of standardized claim forms with automatic transfer of ordering information.
- g) The time spent using the Lanier Word Processor in DTIC-B by Library staff for preparing order forms can be eliminated by using the OCLC forms in lieu of DD Forms 1155.

3. Staff Training

At this point, the Librarian is trained in OCLC Subsystem operation for Cataloging, Interlibrary Loan, and Acquisitions. Additional training for the Library Technician in OCLC Acquisitions can be performed in-house.

G. Costs

Initially FEDLINK (of the Federal Library Committee) at the Library of Congress charges a start-up administrative fee of \$500 and receives a 15% surcharge for supporting OCLC services on each transaction. Once the system is up and running, OCLC will charge \$1.20 for each transaction that results in the transmission of an Action Form (plus \$.08 for each paper copy of the Action Form). If the system had been in use for FY 82, the cost of processing would have been \$401.05 to process 273 orders. A streamlined acquisitions system would have reduced administrative costs for processing Purchase Orders in FY 82. If this acquisitions subsystem had reduced the number of Modifications (amendments) to orders by only 10% in that fiscal year, the system would have more than paid for itself in saved administrative costs to DASC and DTIC (using figures cited by DASC-IS and DASC-F staff).

H. Satisfaction of System Requirements

If the OCLC Acquisitions Subsystem is implemented, the Library will reduce the number of order files from the seventeen it now has to one or two basic paper copy files and two online files (with a possible future reduction to a single online file--OCLC). The status of an order would not be indicated by the location of the paper order form, as it is now, but by status indications in the online order file.

There is still some question as to whether or not the OCLC Acquisitions Subsystem in its complete form (using Action Forms as well as Fund Accounting) would be compatible with the existing procedures for procurement of library materials. This system was designed for libraries with the ability to contact dealers directly in the ordering process. Unless the Librarian becomes an officially recognized Contracting Officer or Contracting Officer Representative, or unless the Library is able to enact blanket purchase agreements with vendors, this system may not be compatible with fiscal procedures at DTIC. (See APPENDIX A; DoDD 7000.1) Paper copies of the desired transaction printed locally in the Library might serve to notify DTIC-M and DASC of library orders or cancellations without actually transmitting directly to the vendor (thus avoiding "Action Form" charges of \$1.20 per item). Another possible approach is to use the OCLC Action Form as a substitute for the DD Form 1155 if all purchasing offices at DASC and DTIC are willing to accept them.

The features for controlling the funding and ordering of materials with the OCLC system are too numerous to explain here. Suffice to say, almost any internal situation can be accommodated by the system with information which is more frequently updated than the present accounting information at DTIC.

There are also some additional capabilities that OCLC would add to our present system of acquisitions:

1. More current and precise vendor address information that would eliminate costly modifications to change publishers' addresses on Purchase Orders.
2. Monthly purchasing reports summarizing purchases by item and vendor.
3. Monthly funding reports showing transactions, funding, obligations encumbered and expended, as well as account balances.
4. Order forms with the ability to have special messages to the vendor added through automated features or manually with a minimum of additional effort.
5. All information about Library orders in one place, accessed with procedures similar to other OCLC functions in the Interlibrary Loan and Cataloging Subsystems. This contributes to work simplification through standardization of procedures for many library functions.
6. A system that can be set to automatically prevent overspending allocated funds.
7. The ability to easily monitor and analyze vendor performance in delivery of materials.

I. Advantages

1. A minimum of start-up time is required to initiate the use of the system--it could be implemented almost immediately.
2. OCLC is now used successfully at over 140 locations and further support of system use is available from a local user group--it is a proven system.
3. The Acquisitions Subsystem is becoming a standard method for acquiring library materials, using standard input and output formats that can reduce misunderstandings between library and vendor.
4. HQ DLA Library is in the process of implementing the OCLC Subsystem. Resource sharing within DLA would enhance DTIC library resources.
5. Pre-order verification procedures are simplified by immediate access to a database of over 9 million bibliographic records for checking title and publisher information.
6. The system provides the possibility for instantaneous communications among offices at DTIC and DASC if dial-up terminals were put into those offices.
7. Automatic transcription of information to the order form reduces workload and typing errors.
8. The opportunity to make use of planned improvements to the Acquisitions Subsystem as they develop, e.g., OCLC plans to develop automatic claiming of unfilled orders in the upcoming year.

J. Disadvantages

1. The chief disadvantage is that the Acquisition Subsystem may not be compatible in its full form with DTIC/DASC Procurement procedures. The present method requires a DD Form 1155 for purchasing library materials and the Librarian is not an official Contracting Officer who can use the system to contact vendors directly.
2. There is no direct method of updating the in-house database of JOUR subscription information through OCLC. This procedure will continue to be performed separately from other operations. Further development may be necessary with the help of DTIC-J to create this capability, but integration of OCLC and JOUR does not exist at present. (A serials check-in subsystem for OCLC is being developed).

II. IN-HOUSE AUTOMATION USING JOUR

A. System Description

JOUR is a database available on the UNIVAC 1100/60 for maintaining library records of subscriptions. This database is accessible through a dial-up Texas Instruments terminal. JOUR is most useful for performing compilations of subscription information, such as reports of periodicals that need renewal, lists of circulating periodicals, etc. Before this database was assembled the Library Technician had to maintain tickler files of renewal notices and library material request forms (DTIC Form 5) in order to keep track of periodicals in need of renewal. A number of tedious filing steps have been eliminated by the use of JOUR. Figure 5 lists all the elements that can be included in a record for a subscription. Some of the fields exist to accommodate potential expansion of capabilities, i.e., book ordering. Further addition of fields is always possible with some help from programming staff in the Office of Information Systems and Technology (DTIC-J). One example of a useful added capability would be a report format that would automatically type out a DD Form 1155 on a printer, much like a preformatted word processing screen, with the basic vendor information filled in.

1 FIELDS

FIELD NAME	NUMBER	TYPE	LABEL
AN	1	I KEY	ACCESSION NUMBER:
LC	2	C	LC NUMBER:
TI	3	C	TITLE:
HD	4	C	HOLDINGS:
FR	5	C	FREQUENCY:
CI	6	C	CHECK IN:
PN	7	C	PUBLISHER NAME:
PA	8	C	PUBLISHER ADDRESS:
CO	9	P	COST:
DOP	10	I	DATE ORDERED:
BOME	11	C	BORROWER:
NO	12	C	NOTES:
COPY	13	I	COPIES:
AU	14	C	AUTHOR:
ED	15	C	EDITION:
VO	16	C	VOLUME:
PD	17	I	PUBLICATION DATE:
PO	18	C	REQUESTOR:
DN	19	I	DTIC NUMBER:
DR	20	I	DATE RECEIVED:
DS	21	I	DATE SPAN:
TY	22	C	TYPE:
DLN	23	C	DLA NUMBER:

Figure 5. Fields of information in JOUR

JOUR in its present form could be relied upon to replace nearly all the pending files in the Library by adding fields to the database to increase points of access to hard copy files. One basic file of hard copy Purchase Orders forms (DD Form 1155) could be maintained by DTIC number. Because of the indexing capabilities of JOUR, no multiple copy filing for cross-indexing would be necessary. Checking for duplicated orders, updating order status and performing follow-up procedures can all be handled by JOUR in the present system configuration. Any new features for automatic fund accounting or management information will require development, de-bugging, and testing, with the assistance of DTIC-J staff.

B. Equipment

The Texas Instruments terminal (TI 700) in the Library is sufficient for accessing JOUR. How much longer this older model terminal will last is questionable. Thermal printing paper for this model is not stocked in the supply room as a standard item and time-consuming special requisitions for the paper must be processed through DTIC-B. This problem may be eliminated with the addition of a letter-quality printer that would take advantage of JOUR's ability to produce lists of information, forms for ordering and any other hard copy output deemed necessary. The printer should be compatible with both of the terminals in the Library to maximize its cost-effectiveness.

C. Staff Training

DTIC Library staff are presently capable of using JOUR in its existing form. JOUR is now operational as a subscriptions file and adding enhancements to the system should not seriously affect the ability of the staff to use JOUR for additional tasks.

D. Initial Start-up Costs and Procedures

Since JOUR uses the BASIS database management system on the UNIVAC 1100 located in the Directorate of Telecommunications and ADP Systems (DTIC-S), no charges are billed to the Library for its use. How long the Library can continue to rely on the availability of DTIC-S support for JOUR on the UNIVAC 1100 is not certain at this time. Storage of data is in high demand at DTIC. Some enhancements to the existing system are necessary before JOUR can be considered as an attractive alternative. These are:

1. An input screen (online work form) for entering purchase information into the database.
2. Telecommunications interfacing with online bibliographic information utilities, i.e., OCLC, DIALOG, etc. for verifying bibliographic information.
3. A funding or accounting component that would automatically handle funds and provide a readout of balances for both obligated and expended funds.
4. The capability of automatically transferring information such as publisher address, fund numbers, and Library constant data (i.e., "Advanced Payment" statement in block #9 of DD Form 1155) to a Purchase Order form.
5. Automatic dating of changes in order status whenever the purchase record is updated.

E. Satisfaction of System Requirements

Existing procedures within the DTIC Library would be accommodated by the use of JOUR in that the system can provide the same information on order status as any of the existing paper files in the Library. Also JOUR is presently being used with success in a limited fashion for record-keeping for the one library function of subscription records.

If JOUR was capable of printing out information on a DD Form 1155, the same procedures outside the Library in other DTIC and DASC offices would be continued without change. Thus, existing information requirements would not be affected at all. New patterns of approval, ordering, and routing copies of the Purchase Order to solve difficulties and time delays would require further research and discussion with DTIC and DASC offices involved in the procurement of Library materials.

F. Advantages

1. JOUR has the capability to reduce paperwork and filing procedures within the DTIC Library.
2. The initial investment of staff time, start-up development, and testing of the basic system in its limited form is essentially complete. DTIC Library Staff are already trained in using JOUR for record-keeping and for retrieving information about the status of an order.
3. Further development of JOUR capitalizes on the existing investment of time that has been devoted to establishing JOUR.
4. Follow-up action can be performed within a minimum length of time with a high level of accuracy.
5. All Purchase Order files in the Library could be accessed from one place in the library. Presently more than one file must be consulted to determine order status.
6. A variety of hard-copy reports can be easily produced to aid in managing the collection development effort.

G. Disadvantages

1. The chief problem is that for JOUR to become more useful as an acquisitions system, more research, development, de-bugging, and testing will be required from DTIC-J. Some of the desired capabilities for enhanced Management Information may not even be possible on JOUR.
2. The second most important disadvantage is that although JOUR can reduce paperwork within the Library, it does little to alleviate the chief source of delays and acquisition problems--the routing of DD Forms 1155 through other DTIC and DASC offices.
3. The existing equipment for accessing JOUR is old and may not be supported sufficiently in the future. Since acquiring paper for the terminal is difficult, then maintenance on the machine itself may also become a problem, especially if the machine is used more often on a fully developed form of JOUR.
4. The quality of the thermal paper is not sufficient to produce usable routing lists or Purchase Orders.
5. There are a number of steps involved in bringing the JOUR system up on BASIS each time it is used. Thus, editing the database takes more time online than to make changes by hand on a hard copy print-out. A system with a "screen editor" that allows the user to type over characters to change the record is much more straight-forward to use and takes less time. There is presently no such editing capability on the BASIS version mounted on the UNIVAC 1100/60. The system would be more effective if it could be used on a single user microcomputer.
6. It may not be possible to have communication links between other online systems and JOUR. Automatic fund control may also be a problem with the BASIS software. These two functions will probably continue to be handled manually unless substantial development of JOUR is undertaken.
7. JOUR is not a tested and proven system for acquisitions. Its present features are not comprehensive enough to handle all the requirements of an automated acquisitions system. (i.e., pre-order searching and verification; see the expectations of automated systems, above, under Library Automation). Since the system is unique to DTIC, there are no other users who can be called upon for problem-solving support or for suggestions for better utilization. Furthermore, the very implementation of the database management system of BASIS on the UNIVAC 1100/60 is also unique to DTIC. Any enhancements to BASIS on UNIVAC hardware (such as a full screen editor) require the cooperation of Battelle Labs (the original developer of the BASIS operating system) to develop new components to the existing database management system. All the benefits of standardized procedures do not exist for either JOUR or BASIS on the present hardware.

III. JOBBERS

A. General Statement

Jobbers are generally described as wholesalers who stock or supply books for resale to libraries and bookstores. There are many types of services available through these purchasing agents. The significant differences among these services are the amounts of control relinquished by the Librarian and assumed by the vendor, and the type of publication handled by any given service.

B. Book Services

A short review of the types of book purchasing services will illustrate this spectrum of control, from the least amount of librarian control to the greatest.

1. Blanket Purchase Order (BPO) Plans - a list of subject categories is submitted to the publisher who then sends the entire output in those areas to the Library. Invoices are sent to the Library or its purchasing office on a monthly basis.

a. Advantages

- 1) Discounts are usually offered for books
- 2) Books are usually received before or around the official publication date.
- 3) Large collections can be updated with a minimum of paperwork.

b. Disadvantages

- 1) This plan is more suitable for a large library than a small one like the DTIC Library.
- 2) Items which are not normally acquired may be accepted by library staff to avoid the paperwork necessary to return the item.

- 3) Having Blanket Purchase Order Plans with more than one publisher or dealer may become complicated to coordinate and control.
- 4) Subscription services are not usually included in this type of plan.
- 5) Minimum purchase amounts may be required by the jobber.

2. Approval and Gathering Plans - like a BPO, subject categories for collection are submitted but with the stipulation that any item may be refused and easily returned to the publisher.

a. Advantages

- 1) The same advantages for speed of delivery, discounts and paperwork reduction in BPO's are present in this type of plan.
- 2) The item "in hand" can be evaluated for quality and relevance to the collection before actually buying the material.
- 3) Time saved by this plan can be devoted to more qualitative aspects of collection development.
- 4) More staff time can be devoted to other DTIC library functions.

b. Disadvantages

- 1) Reviewing items for approval and returning unwanted items may consume all the time saved by the plan.
- 2) A lack of staff time may create a situation where it becomes more convenient to accept materials without reviewing them.
- 3) Esther DeVore, Budget Analyst in DTIC-M, feels that neither BPO's nor approval plans may be possible at DTIC due to her interpretation of DLA purchasing regulations.

3. Book Dealers - arrangements are made with book dealers to handle purchasing from the publishers. Often these arrangements are called Blanket Purchase Agreements. Unlike BPO's or Approval Plans, books are ordered as needed by the Library staff and a monthly invoice is submitted to the office responsible for disbursing payment. Spending limits (minimums and maximums) are set by the responsible Contracting Office (DASC-IS).

a. Advantages

- 1) The Library can exercise as much control over what materials are sent from the dealer as it does now with publishers.
- 2) Dealers often provide a discount on purchases, albeit smaller than BPO's or Approval Plans.
- 3) Some dealers provide additional services such as claiming orders that are late in delivery, handling special problems or providing expediting services.
- 4) There is some paperwork reduction in that invoices are issued on a monthly basis. Thus, fewer Purchase Orders need to be generated.
- 5) Dealers simplify the ordering process by acting as a single point of contact for a number of publishers.
- 6) A number of reputable dealers are located in this area-- reducing long distance calls and written correspondence.

b. Disadvantages

- 1) Dealers must be selected with care. Financial stability of the vendor needs to be established before entering into any long-term commitment.
- 2) Few book dealers also provide subscription services.
- 3) Each dealer seems to cover a different list of publishers and rarely covers association or government publications. Thus, more than one dealer must be used and each dealer's publisher list must be consulted before ordering materials from them.
- 4) Again, Esther DeVore has said that the DLA policy on "illegal" contracts may obviate the usage of dealers. Nevertheless, it is common practice for Federal and DoD Libraries to use Blanket Purchase Agreements with book dealers.
- 5) Although dealers occasionally provide pre-order searching services to verify title information etc., the Library may be relinquishing control over a vital part of the acquisition process if dealers are allowed to assume this responsibility.

C. Subscription Agents

Subscriptions acquisition through agents is different from buying books from dealers in a number of ways. Payments are made in advance and there is usually a charge for these services. As mentioned earlier, subscriptions create more problems than book orders because of the open-ended nature of receiving the materials into the Library. The vendors who service this type of library material tend to operate differently from book jobbers. Usually the subscription agent is capable of handling most routine orders with the exceptions of:

- Association Membership Journals.
- Expensive indexing and abstracting services.
- Business service publications.
- Some directory publications.
- Free Subscriptions.

Orders are placed for new subscriptions by phone or correspondence to the agent and renewals are continuous until the Library requests a cancellation. The agent usually handles subscription problems and the replacement of missing issues. This service relieves the Library of very time-consuming tasks.

1. Advantages

- a. Even a short list of titles can be far more economically handled by one order on one invoice rather than on multiple orders and invoices.
- b. Discounts are available from some subscription agents.
- c. Comprehensive services that reduce library workload are often included with the buying service.
- d. Book purchasing services are occasionally included with subscription services.
- e. Agents services are available locally. This could reduce correspondence and long distance calls to resolve discrepancies.

2. Disadvantages

- a. Agents usually charge for services.
- b. Agents can not be depended upon for all subscription ordering.
- c. Agents, like book dealers, must be carefully evaluated to determine reliability of services offered.
- d. DTIC Library may be required to ride an existing contract that DoD has with the Turner Subscription Agency in New York. This Agency has not performed its contract to the full satisfaction of a number of DoD Libraries, but the contract is due to expire at the end of this fiscal year.
- e. When a library changes from one agency to another, problems may arise during the transition period. Getting full follow-up services from the former agent for subscriptions started during the previous contract can be problematic.
- f. Subscription Agents often require multi-year contracts.

D. Contract Bidding from Subscription Agents

Some Federal Libraries submit their periodical acquisition lists to contractors for competitive bidding. When a contract is let, one vendor is responsible for all routine subscription (and sometimes book) purchases. A number of problems arise in the use of this type of arrangement. First, the contracting process is time-consuming. If bidding is conducted on an annual basis and there is a change in contractors, the Library must carefully plan the transition. Gaps in the periodical collection can easily occur during vendor change over. Extraordinary expense may result from trying to replenish lost back issues (or photocopies of materials no longer available from the publisher). The new vendor may not supply the same list of

publications as the former and refuse to provide certain other types of materials, i.e., difficult to locate publications, newsletters, etc. Bids for periodical subscriptions are usually based on face value of materials in order to be competitive. Services will therefore not be taken into account and result in inflated costs after the contract is let, or inferior quality of service. In any case, the Library must make a thorough check on the kind of services a potential contractor has given other libraries by contacting other acquisitions Librarians who can provide honest evaluations.

E. Agent Supplied Automated Acquisitions

Automated systems for handling acquisitions are sometimes supplied by a vendor. At best these services approximate the OCLC Acquisitions Subsystem with one basic difference--direct online ordering to the vendor. All the same advantages of automatic data transfer, communications, speed, immediate order status checking are often available. One such system is supplied by Brodart, but substantial costs are involved. Their Online Acquisition System (OLAS) requires a dedicated Beehive 500 terminal (\$225.00/mo), a Centronics 306 printer (\$150.00/mo), a 300 baud copier and 1200 baud modem (\$75.00/mo), for a total monthly cost of \$450.00 in equipment expenses alone. Outright purchase of equipment costs \$3,750.00. Installation and training costs are \$150 per day and minimum communications charges are \$50.00 per month. Start-up expenses for this or any vendor supplied automated acquisition system far exceed the cost of using the OCLC equipment now located in the DTIC Library. Such an automated system is dedicated to only one library function. Integrating Acquisitions activities with Cataloging or Interlibrary Loan would not be possible without additional specialized equipment or software.

RECOMMENDATIONS

1. The most attractive alternative is to implement the OCLC Acquisition subsystem in some capacity--either in its complete form issuing OCLC formatted order forms directly to the vendor (instead of DD Form 1155) or in a reduced version as a method of maintaining better management information of funding and expenditures for library purchases. (See Figure #6)
2. The DTIC Library should make use of BPA's with dealers for ordering books and especially subscriptions. More subscriptions need to be ordered on a multi-year renewal basis to get the benefit of discounts and to reduce processing workload. The best way to reduce problems with orders is to reduce the number of Purchase Orders generated in the overall acquisition of library materials. There are too many pitfalls in the processing of an individual Purchase Order through the offices at DTIC and DASC. The use of dealers is also compatible with the OCLC Acquisitions Subsystem.
3. Since many of the report generation capabilities of the JOUR database can not be produced by any one vendor or OCLC at this time, this database capability should be maintained temporarily but not expanded to perform additional functions. OCLC is developing a serials subsystem that may be capable of handling JOUR's functions in the future.
4. Regardless of what decisions are made with respect to OCLC, the internal order files of the DTIC Library must be consolidated into fewer files to eliminate duplicate record-keeping.

5. A printer is the one piece of additional library equipment that would substantially improve processing accuracy and reduce some time-consuming activities. Routing slips can be generated automatically on JOUR, but the thermal printer paper on the TI 700 dial-up terminal in the Library is insufficient in print quality and durability. OCLC has automatic generation of book pocket and spine labels at the press of a "print" button. Occasionally there is also a need for a paper copy of bibliographic information in the OCLC database for non-acquisition functions such as reference and cataloging. Optimally, the printer should be compatible with both the OCLC terminal and a dial-up terminal to print information from non-OCLC databases (DROLS, JOUR, commercial databases, etc.) such as bibliographies and routing slips.

6. Replace the TI-700 terminal. Investigate available equipment and possible advantages of using a microcomputer as a terminal. The existing dial-up unit has no ports for generating output to a separate printer for a higher quality print. Furthermore, the unit is old and subject to unexpected breaks in communications and has an old type of paper roll. Replacement rolls must be acquired through special orders because the supply room at DTIC does not carry them. A terminal which is capable of operating at higher rates of speed (up to 1200 baud) would have the capability of saving substantial costs in searching, communications, and maintenance on OCLC as well as commercial databases. We would be paying only for the time we were actually online to OCLC, and not a fixed charge for telecommunications and maintenance (approximately \$300 per month) as we do now. A study comparing per item costs of the Beehive 105 OCLC terminal to a microcomputer/terminal with a 1200 baud modem (modulator/demodulator) should be undertaken.

7. A microcomputer would also provide more immediate access to in-house databases such as JOUR without suffering the set-backs and down-time we now experience with the UNIVAC 1100 in a time sharing environment. OCLC and IHM are cooperatively developing a microcomputer terminal that will interface with OCLC systems as well as local information resources. A large portion of the cost for a microcomputer would be recovered by the sale of the existing OCLC terminal.

8. The following flow chart illustrates graphically the proposed system of acquisitions under ideal conditions.

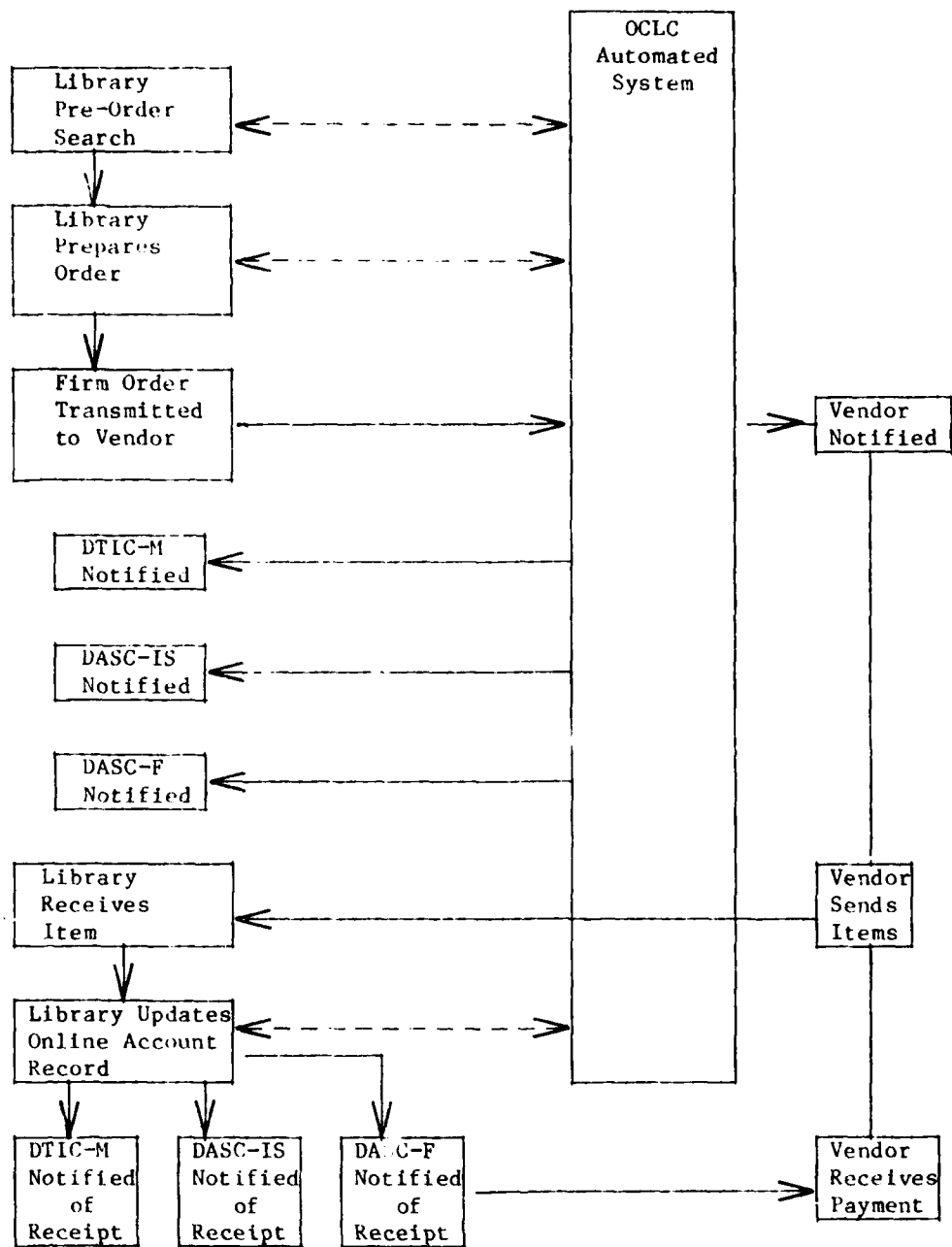


FIGURE 6. Flowchart of Acquisitions after implementing OCLC Acquisitions
(Compare to FIGURE 2)

CONCLUSIONS

The listed recommendations are directed at very specific problems inherent in the acquisition process at the DTIC Library. To review, these consist of the following difficulties:

1. A lack of direct communication between the Library and the vendor.
2. The number of offices involved in processing the Purchase Order form (DD Form 1155) before the vendor is notified of the intent to purchase library materials.
3. A lack of communication and feedback among DTIC and DASC offices on the status of an order or available funding.
4. The cumbersome procedure for handling forms and keeping records within the DTIC Library.
5. The need for up-to-date online access equipment.

The process of ordering books and subscriptions is inherently different from purchasing other types of materials and supplies at DTIC. Basically, the system of purchasing at DTIC and DASC is not suited to the high frequency, but low cost per item situation at this Library. The recommendations are intended to remove obstructions to the ordering process and to bring about the timely access to library materials while controlling expenses. It is the very nature of a library service that informational materials be acquired for immediate use or that materials be ordered in preparation for expected user needs. If the need for information expires before the publication is acquired, then the value of the information is reduced, and the effort to acquire it is largely wasted.

APPENDIX A
DoD DOCUMENTATION

Feb 15, 83
3200.12 (Encl 3)

DEFENSE TECHNICAL INFORMATION CENTER

A. MISSION

Under the operational control of the Director, DLA, and in accordance with OUSDR&E policy guidance, the DTIC shall:

1. Provide centralized operation of DoD services for the acquisition, storage, retrieval, and dissemination of STI to support DoD research, development, and engineering and studies programs.
2. Serve as a focus for specific actions required by the OUSDR&E to meet technical information needs of the STIP.
3. Develop and provide specialized information system support approved or directed by the OUSDR&E.
4. Work directly with the OUSDR&E to formulate objectives and programs concerning STI transfer among the Military Departments, Defense Agencies, and other U.S. Government agencies.
5. Participate with the OSD and federal agencies in formulating DoD and federal policies relating to STI transfer.
6. Function as a central activity within the Department of Defense for applying advanced techniques and technology to DoD STI systems and for developing improvements in services and STI transfer effectiveness in support of STIP objectives.
7. Represent the Department of Defense at STI meetings, conferences, or symposia to support mission objectives.
8. Provide liaison with other DoD and government STI organizations (such as the Defense Logistics and Studies Information Exchange (DLSIE) and the National Aeronautics and Space Administration.)

B. FUNCTIONS

The Administrator, DTIC, is responsible for providing or executing the following functions in support of the STIP:

1. Centralized DoD Document Services. These include all services related to maintaining a repository of technical documents resulting from or pertinent to DoD RE and studies efforts, providing for their dissemination, and the following functions:
 - a. Acquiring technical documents including documents from outside the Department of Defense, domestic or foreign, that are considered pertinent to RE and studies efforts and not readily available to these efforts through other sources.
 - b. Providing prompt and effective document awareness services and publications reflecting new acquisitions in the document collection.

DEFENSE TECHNICAL INFORMATION CENTER (DTIC)

MISSION

Under the operational control of the Director, DLA, and in accordance with OUSD(R&E) policy guidance, the Administrator, DTIC, is responsible for the acquisition, storage, retrieval, dissemination, utilization, and enhancement of technical information for research and development managers, scientists, engineers, and others; and, the total DLA management responsibility for assigned DoD Information Analysis Centers. (DoD 5100.36, enclosure 3, Defense Scientific and Technical Information Program, outlines the mission, responsibilities, and functions of DTIC.)



TITLE 21--MONEY AND FINANCE

§ 530a. Payment in advance of subscription or other charges for newspapers, magazines, periodicals, and other publications

Subscription or other charges for newspapers, magazines, periodicals, and other publications for official use of any office under the Government of the United States or the municipal government of the District of Columbia may be paid in advance from appropriations available therefor, notwithstanding the provisions of section 529 of this title.

(June 12, 1930, ch. 470, 46 Stat. 580; July 20, 1961, Pub. L. 87-91, § 1, 75 Stat. 211.)

CODIFICATION

Section was formerly classified to section 118b of Title 5 prior to the general revision and enactment of Title 5, Government Organization and Employees, by Pub. L. 89-554, § 1, Sept. 6, 1966, 80 Stat. 378.

AMENDMENTS

1961: Pub. L. 87-91 inserted "or other" following "subscription" and substituted "periodicals, and other publications" for "and other periodicals".

TRANSFER OF FUNCTIONS

For transfer of certain functions relating to finance and fiscal matters, insofar as they pertain to the Air Force, from the Secretary of the Army and Department of the Army to the Secretary of the Air Force and Department of the Air Force, see Secretary of Defense Transfer Order Nos. 11, May 10, 1948; 25, Oct. 14, 1948; and 40 (App. B (87)), July 22, 1949.

SECTION REFERRED TO IN OTHER SECTIONS

This section is referred to in section 530b of this title.

§ 530b. Definition

For the purposes of section 530a of this title, the term "other publications" shall include any publication printed, microfilmed, photocopied, or magnetically or otherwise recorded for auditory or visual usage.

(June 12, 1930, ch. 470, § 2, as added Dec. 22, 1974, Pub. L. 93-534, 88 Stat. 1731.)

DEFENSE LOGISTICS AGENCY
DEFENSE LOGISTICS AGENCY ADMINISTRATIVE SUPPORT CENTER
CAMERON HALL
ALEXANDRIA, VIRGINIA 22304

16 JUL 1982

DASC-I

SUBJECT: Illegal Contracts

TO: Heads of IQ DLA Principal Staff Elements
Heads of DLA/Non-DLA Activities Supported by DASC
Chiefs, DASC Offices/Divisions

1. Recently, we have received several requests from various offices to make payment on contracts that were entered into by employees who lacked the authority to commit the Government. Please be advised that such contracts are illegal. Only contracting officers have the authority to enter into contracts on behalf of the Government.

2. Please take steps to ensure that your staff is aware that if goods or services are needed, they must be obtained through the contracting officer located in DASC-13. It should also be emphasized that employees who attempt to contract on behalf of the Government without authority may be held responsible for payment of those contracts.

Stephen R. Celec
STEPHEN R. CELEC
Deputy

ARMED SERVICES PROCUREMENT REGULATION

DAC #76-16 1 AUG 1978

PROCUREMENT BY NEGOTIATION

3-608.10 Purchase Orders Via Written Telecommunications Media

(a) A written telecommunicated purchase order is an order for supplies or services which is electrically transmitted to a supplier and which is not signed by the contracting officer.

(b) A written telecommunicated purchase order may be used only when all of the following conditions are present:

- (i) its use is more advantageous to the Government than any other small purchase technique.
- (ii) an unsigned transmitted order is acceptable to the supplier.
- (iii) the order is approved by the contracting officer prior to its transmission.
- (iv) the order does not require written acceptance by the supplier, and
- (v) the purchasing office retains all contract administration functions.

(c) When a written telecommunicated purchase order is used

- (i) the General Provisions on DD Form 1155 shall be incorporated by reference in the transmitted order, as appropriate.
- (ii) administrative information which is not needed by the supplier should not be transmitted but should be placed only on copies intended for internal distribution.
- (iii) the same distribution shall be made of the transmitted order as is made of DD Form 1155, and
- (iv) no DD Form 1155 or other small purchase form shall be issued.

(d) A written telecommunicated purchase order may be unpriced, provided it meets the conditions set forth in 3-608.3.

ARMED SERVICES PROCUREMENT REGULATION

DAC #76-17 1 SEP 1978

GENERAL PROVISIONS

Part 2 Definition of Terms

1-201.2 Contract Modification means any written alteration in the specification, delivery point, rate of delivery, contract period, quantity, or other contract provisions of an existing contract, whether accomplished by unilateral action in accordance with a contract provision, or by mutual action of the parties to the contract. It includes (i) bilateral actions such as supplemental agreements, and (ii) unilateral actions such as change orders, orders for provisioned items, administrative changes, notices of termination, and notices of the exercise of a contract option.

1-201.3 Contracting Officer means any person who, either by virtue of his position or by appointment in accordance with procedures prescribed by this Regulation, is currently a contracting officer (see 1-400) with the authority to enter into and administer contracts and make determinations and findings with respect thereto, or with any part of such authority. The term also includes the authorized representative of the contracting officer acting within the limits of his authority. NOTE: Recent assignments of contract administration responsibilities have necessitated a separation of duties related to procurement, with some duties normally performed at a purchasing office and some normally performed at a contract administration office. For convenience of expression, when requiring performance of specific duties by a contracting officer, this Regulation may refer to a contracting officer at the purchasing office as the procuring contracting officer (PCO), and to a contracting officer at a contract administration office as an administrative contracting officer (ACO). Additionally, a contracting officer, responsible for the settlement of terminated contracts, may be referred to as the termination contracting officer (TCO). It is recognized that a single contracting officer may be responsible for duties in any or all of these areas, and reference in this Regulation to PCO, ACO, or TCO does not of itself require that duty be performed at a particular office or activity or restrict in any way a contracting officer in the performance of any duty properly assigned. For example, a duty specified by this Regulation to be performed by the ACO will be performed by a contracting officer at the purchasing office when contract administration or responsibility for that duty has been retained in the purchasing office in accordance with 20-703.3.



GENERAL PROVISIONS

Part 4 Procurement Responsibility and Authority

1-401 Responsibility of Each Procuring Activity. Except as otherwise prescribed by procedures of each respective Department, the Head of a Procuring Activity is responsible for the procurement of supplies and services under or assigned to the procurement cognizance of his activity.

1-402 Authority of Contracting Officers. Contracting officers at purchasing offices (see 1-201.24) are authorized to enter into contracts for supplies or services on behalf of the Government and in the name of the United States of America, by formal advertising, by negotiation, or by coordinated or interdepartmental procurement; and when authorized by 20-703 to administer such contracts, in accordance with this Regulation. This authority is subject to the requirements prescribed in 1-403 and 1-404 and any further limitations, consistent with this Regulation, imposed by the appointing authority. Contracting officers at contract administration offices (see 1-201.25) are, except as provided in 20-703.3, authorized to perform the applicable contract administration functions (see 1-406) and to perform additional procurement functions when delegated by the purchasing office.

GENERAL PROVISIONS

1-405.2 Appointments.

(a) Except for those individuals who are designated contracting officers by position, appointment of contracting officers shall be made on DD Form 1539, Certificate of Appointment, issued by the appointing official (see F-200.1539). Any limitations on the scope of the authority to be exercised by the contracting officer other than those contained in this Regulation, shall be entered on the face of the certificate. Certificates may be serially numbered.

(b) The office of each appointing authority shall maintain a file containing all documents (such as resumes, references, and records of training) necessary to support the appointment of each contracting officer.

1-405.3 Termination of Appointments.

(a) Automatic Termination. Unless the appointment of a contracting officer contains other provisions for automatic termination, the appointment shall remain effective, unless sooner revoked, until the contracting officer is reassigned or his employment is terminated.

(b) Revocation. The appointment of a contracting officer may be revoked at any time by the appointing authority, or higher appointing authority, or any successor to either, but no such revocation shall operate retroactively. Revocation of the appointment shall be made by letter, reading substantially as follows:

.....(Date)
SUBJECT: Termination of Appointment As Contracting Officer,
Certification of Appointment, Serial No

TO: (Name, grade or rank of arm of service,
and service number, if any)

1. Your appointment as Contracting Officer contained in the subject certificate is hereby terminated effective19.....

.....Signature and Title



SMALL PURCHASE MANUAL

CHAPTER 1 - INTRODUCTION

A. Need for a Small Purchase and Other Simplified Purchase Procedures.

The foremost objective of small purchase and other simplified purchase procedures is to reduce administrative costs. Past Government surveys reveal that for 50% of all Government procurement actions, the administrative cost either equalled or exceeded the purchase price.

The Department of Defense purchasing activities are spending approximately \$46 billion a year. These procurement actions range in dollar value from multimillion dollar contracts to purchases of less than one dollar. Since it has been estimated that just the administrative expense of making a multiple award under a solicitation is \$100, it is readily apparent that, where possible, administrative costs must be held to a minimum. A closer look at statistics shows that in FY 75 almost 10 million actions were under \$10,000, representing an expenditure of approximately \$4.8 billion. If each of these actions were to cost \$100 in administration, the Department of Defense would be spending \$1 billion to buy \$4.8 billion worth of goods and services in the small purchase area alone, or \$20.84 for every \$100 spent.

B. Small Purchase System.

The small purchase system is used to make purchases of less than \$10,000 which will involve the minimum administrative costs while assuring that the buy is in the best interest of the Government, price and other factors considered.

1. How It Works.

Under the small purchase system, procurements are accomplished after oral or written solicitation, utilizing one of the methods outlined below and described in Chapter 3C, below.

The system provides for four primary methods of purchase:

- (i) blanket purchase agreement (BPA);
- (ii) imprest funds;
- (iii) purchase orders using:
 - (A) DD Form 1155 and ancillary forms; and
 - (B) Standard Form 44 (Purchase Order - Invoice - Voucher);
 and
- (iv) U.S. Government National Credit Card.



SMALL PURCHASE MANUAL

CHAPTER 2 - ORIGIN OF THE BUY

B. The Purchase Request.

This document contains essential elements of information which may be broken down into administrative data and descriptive data.

Administrative data includes:

- (i) purchase authority;
- (ii) funding citation;
- (iii) requestor and address;
- (iv) delivery requirements (priorities);
- (v) estimated price of the item(s);
- (vi) other appropriate information; and
- (vii) signatures

This information establishes the authority for the purchase to be made.

Descriptive data may include:

1. Item Identification (Description).

(a) Procurement Identification Description. The description will include the approved item name, military model number and such other descriptive material as will properly identify the item; it may include end item application.

(b) National Stock Number. This is a number assigned by a Federal agency for identification of supply items. These numbers are listed in Federal Supply Catalogs which consist of two parts, an Identification List (IL) and a Management Data List (ML).

(c) Service Part Number. This is a number assigned by a Military Service for identification of an item.

(d) Manufacturer's Part Number. This is a number assigned by a manufacturer for identification of an item. A vendor who does not manufacture an item may assign his own part number to an item purchased from a manufacturer.



SMALL PURCHASE MANUAL

CHAPTER 2 - ORIGIN OF THE BUY

B. The Purchase Request

6. Summary

The adequacy of the descriptive data, and particularly the item identification, which has been provided on the purchase request will determine the ease of recognition of the item by the buyer. The originator of the purchase request is responsible for furnishing this information. The buyer, however, must assure that he has been provided adequate descriptive data to know what to buy. Unless the buyer knows without a doubt what he is expected to buy, he must take appropriate action to see that the originator furnishes him the additional descriptive data required. There are times when the originator of the purchase request has not exhausted all resources known to him to provide adequate descriptive data, and it is well for the buyer to have some knowledge of these resources to know that the originator has done his job.

C. Sources of Descriptive Data.

To repeat, "ADEQUATE DESCRIPTIVE DATA IS THE RESPONSIBILITY OF THE ORIGINATOR OF THE PURCHASE REQUEST," but it is important for the buyer to know what information of this nature is available, and he should have an understanding of the format and use of such material.

D. Noncataloged, Nonstocked, or Commercial Type Items.

Requirements for noncataloged, nonstocked, or commercial type items will frequently lack adequate descriptive data, and the requestor may not have access to any additional descriptive data. In these cases, the buyer must depend upon the efforts of the entire logistical team (engineers, technicians, industrial specialists) to provide additional data. Suppliers themselves may often be of assistance in these cases.

E. Screening.

The buyer's job has just begun. Upon receipt of the purchase request, he must first screen it to assure that he has a "Valid" purchase request, citing the correct authority, upon which to take purchase action. While there may have been prior reviews or screening, he must make sure that the document contains all administrative and descriptive data (as previously mentioned) so that he knows what he is buying and how he should make the buy. In other words, he must know that he has all the information required to prepare the solicitation, evaluate the quotations, and issue the purchase order.





August 22, 1966
NUMBER 7000.1

ASD (COMP)

Department of Defense Directive

SUBJECT Resource Management Systems of the Department of Defense

- REFS: (a) DOD Directive 7040.1, "Program for Improvement in Financial Management in the Area of Appropriations for Operation and Maintenance, " May 29, 1959 (hereby cancelled)
- (b) DOD Directive 7041.1, "Cost and Economic Information System," July 7, 1964 (hereby cancelled)
- (c) DOD Directive 5118.3, "Assistant Secretary of Defense (Comptroller)," January 24, 1966 (Section III.A. hereby superseded and cancelled)

I. PURPOSE

This Directive establishes the objectives and basic policies for the improvement of Department of Defense resource management systems.

II. APPLICABILITY

The provisions of this Directive apply to all components of the Department of Defense.

III. DEFINITIONS

A. Resource Management Systems:

1. Resource management systems include all procedures for collecting and processing recurring quantitative information that (1) relates to resources and (2) is for the use of management. They also include procedures which are closely related to quantitative systems even though the systems may not themselves be primarily quantitative. Resources are men, materials (i.e., real and personal property), services and money.



2. This definition excludes all non-resources (e.g., intelligence, tactical doctrine, military justice), and all non-systems (e.g., one-time collections of controlled data, submission of experimental test reports, exchange of correspondence).
3. Resource management systems are ordinarily described in terms of the flow and processing of information, and the common denominator of this information is often monetary but the information may be nonmonetary.
4. Resource management systems include, but are not limited to, the following:
 - a. Programming and budgeting systems;
 - b. Accounting systems;
 - c. Other systems for management of resources for operating activities;
 - d. Systems for management of acquisition and disposition of inventory and similar assets;
 - e. Systems for management of acquisition, use and disposition of capital assets.
- B. Working Capital: Consists of current resources on hand, such as cash, inventories of consumable materiel, other current assets less liabilities and contracts and orders outstanding, prior to issue of materiel to users or services actually rendered.
- C. Operating Budget: An approved operating plan which is the basis of authorization and financial control of expenses and selected working capital in the execution of a program or programs.
- D. Operating Activities: Each major organizational subdivision or entity made responsible for execution of an identifiable segment of a program.
- E. Financial Control: The budgetary control or management of a unit or function in accordance with an approved budget with the view of keeping expenses and changes to working capital within the limitations thereof.

IV. OBJECTIVES

The objectives of the Department of Defense resource management systems are:

- A. To provide managers at all levels within the Department of Defense with information that will help them assure that resources are obtained and used effectively and efficiently in the accomplishment of Department of Defense objectives.
- B. To provide information that is useful in the formulation of objectives and plans.
- C. To provide data to support program proposals and requests for funds.
- D. To provide a means of assuring that statutes, agreements with Congressional committees, and other requirements emanating from outside the Department of Defense relating to resources, are complied with.

V. POLICIES

- A. Department of Defense approved plans will be stated in the Five Year Defense Program. This program will be the nucleus of Department of Defense resource management systems; and planning, programming, budgeting, accounting and reporting for the Department of Defense will be consistent with it.
- B. Programming and budgeting systems will:
 - 1. Be correlated as fully as possible with each other and with management accounting systems, using common data elements and definitions, translatable structures and non-duplicative procedures and schedules.
 - 2. Be organized so as to focus on the goals, purposes and outputs of the Department of Defense, and on the costs of achieving these goals.
- C. Systems for management of resources of operating activities will:
 - 1. Focus on outputs and on resources used, i.e., expenses.
 - 2. Focus on managers who are responsible for effective and efficient utilization of resources.
 - 3. Focus on actual performance in relation to planned performance.
 - * 4. Use operating budgets and accounting as a primary aid in management control at each organizational level. *

5. Use working capital to hold resources in suspense in both time and place between the acquisition of resources and their consumption.

* D. Systems for management of inventory and similar assets will: *

1. Measure available inventory in readiness terms, against approved requirements.
2. Maximize the capability to use common stores of inventory for all DoD purposes and consumers.

E. Systems for management of capital acquisitions will:

1. Focus on the item (or component thereof) being acquired, its quality, its time schedule, and its cost, in terms of both plans and actuals.
2. Include special information subsystems applicable to acquisitions of selected major capital items.
3. Be standardized and controlled, to the extent practicable, so as to minimize the data gathering and reporting workload imposed on contractors and in-house activities.
4. Be structured so as to minimize changes required to accounting systems used by contractors.

F. Resource management systems will be oriented to the needs of management, but they also must provide information required by the Congress, Bureau of the Budget, Treasury Department, and by other Government agencies. Where the information required by these outside agencies is not the same as that used for resource management, translation from one type to the other will be accomplished at the headquarters level of each military department and Defense agency.

G. Systems will be designed to provide data to meet the need at each management level. As a general policy, data at each management level will consist of summaries of data used at lower levels.

H. Resource management systems will be designed to assure compliance with limitations, prohibitions and other

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requirements or understandings which are or may be established by law, direction or agreement within the Executive Branch of the Government or with the Congress.

- I. Each system or subsystem will be compatible with other systems; it should not overlap or duplicate other systems; all the data should meet a recognized need; the value of the information obtained must exceed the cost of collecting it; standard terms and data elements should be used to the extent feasible.

VI. RESPONSIBILITIES

- A. Subject to the direction, authority, and control of the Secretary of Defense, the Assistant Secretary of Defense (Comptroller) has the responsibility to provide for the design and installation of resource management systems throughout the Department of Defense.
- B. This responsibility requires that the Assistant Secretary of Defense (Comptroller):
 1. Maintain an overview of all DoD resource management systems activity, including an inventory of all significant DoD resource management systems, that are either in use or under development.
 2. Review and approve proposed significant changes in resource management systems or proposed new systems.
 3. Insure compatibility and uniformity among resource management systems.
 4. Provide policy guidance for the characteristics of and general criteria governing resource management systems.
 5. Insure standardization of data elements and data codes.
 6. Under certain circumstances, as described below, develop new systems or improvements in existing systems.
- C. In discharging this responsibility, the Assistant Secretary of Defense (Comptroller) will take the lead in developing certain types of resource management systems. Primarily, these are systems that are principally financial information. With respect to

other resource management systems, the office primarily responsible for the function that a system is to serve will normally take the lead in development. In the latter case, the Comptroller will assist to the extent feasible, and has responsibility only for assuring that the final product meets the criteria for an acceptable system, as specified in Section V.

// The Comptroller will not take the lead in resource management systems that do not primarily involve financial information unless he is requested to do so by the responsible office. //

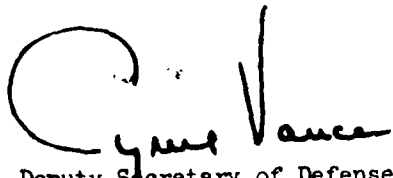
- D. The Comptroller should be advised of plans for a new system or a system change from the outset, so that proposals that are unlikely to meet these criteria can be called to the attention of the lead office at the earliest possible time.
- E. Although the Assistant Secretary of Defense (Comptroller) has a similar responsibility for resource management systems developed within Military Departments or Defense Agencies, he normally will exercise this responsibility only by examining and approving proposed systems and significant system changes. He will look to his counterparts in the Military Departments or Defense Agencies to exercise responsibility within their organizations corresponding to that described above.
- F. The Comptroller does not normally use the information provided by a system, unless it relates to the Comptroller function. His primary responsibility is to provide for the development of systems that will help managers do their jobs.

VII. CANCELLATION

References (a), (b), and Section III.A. of (c) are hereby cancelled.

VIII. EFFECTIVE DATE

This Directive is effective on publication.


Deputy Secretary of Defense

APPENDIX B
FORMS FOR DTIC ACQUISITIONS

BOOK/PERIODICAL REQUEST			
1. AUTHOR		5. EDITION NUMBER	
2. TITLE		6. VOLUMES (In set)	
3. IDENTIFICATION NUMBER		7. YEAR PUBLISHED	
4. PUBLISHER		8. NO. OF COPIES	
4A. DISTRIBUTION		9. COST	
10. JUSTIFICATION			
11. REQUESTER (Name and Extension)		12. DIRECTOR APPROVAL (Signature and Date)	
FOR LIBRARY USE ONLY			
13. DTIC NUMBER	14. DATE ORDERED	15. DLA NUMBER	16. L/C CARD NUMBER
		17. DATE RECEIVED	

PREVIOUS EDITIONS ARE OBSOLETE

DTIC FORM 5
NOV 80



<input type="checkbox"/> CHECKED BOX APPLIES		<input type="checkbox"/> ORDER FOR SUPPLIES OR SERVICES		<input type="checkbox"/> REQUEST FOR QUOTATIONS NO. RETURN COPIES OF THIS NOTE BY THIS IS NOT AN ORDER See DD Form 1155			
1 CONTRACT ORDER NO.		2 DELIVERY ORDER NO.		3 DATE OF ORDER		4 REQUEST FOR QUOTATION NO. DTIC Number (DTIC83-100)	
5 ISSUED BY Defense Logistics Agency Admin Support Center Cameron Station Alexandria, VA 22314		6 CODE		7 ADMINISTERED BY (if other than n/a)		8 DELIVERY METHOD <input type="checkbox"/> DELT <input type="checkbox"/> SEE SCHEDULE IF OTHER	
9 CONTRACT QUOTE NAME AND ADDRESS Publisher Name & Address		10 CODE		11 FACILITY CODE		12 DELIVER TO FOB POINT BY	
						13 CHECK BUSINESS <input type="checkbox"/> SMALL <input type="checkbox"/> SMALL DISADVANTAGED <input type="checkbox"/> WOMEN OWNED	
						14 DISCOUNT TERMS net	
						15 MAIL INVOICES TO Same as block 15	
16 SHIP TO DTIC Technical Library Cameron Station Bldg. 5 Alexandria, VA 22314		17 CODE		18 PAYMENT WILL BE MADE BY Defense Logistics Agency Admin Support Center Cameron Station Bldg. 5 Alexandria, VA 22314		19 MARK ALL PACKAGES AND PAPERS WITH CONTRACT OR ORDER NUMBER	
20 DELIVERY		This delivery order is subject to instructions contained on this side of form only and is issued on another Government agency or in accordance with and subject to terms and conditions of above numbered contract					
21 PURCHASE X		Reference your notice furnish the following on terms specified herein, including, for U.S. purchases General Provisions of Purchase Order on DD Form 1155 EXCEPT CLAUSE NO. 12 APPLIES ONLY IF THIS BOX <input type="checkbox"/> IS CHECKED AND NO. 14 IF THIS BOX <input type="checkbox"/>					
22 CHECKED: special provisions		and delivery as indicated. This purchase is negotiated under authority of					
23		U.S.C. 2404 (a)(3) or as specified in the schedule if within the U.S. its possessions or Puerto Rico, if otherwise under 2304 (a)(6)					
24		If checked, Additional General Provisions apply. Supplier shall sign Acceptance on DD Form 1155 and return copies					
25 ACCOUNTING AND APPROPRIATION DATA/LOCAL USE							
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Books: 9720400.5144 01 P571.31 0031.21 s44-200							
A.D. McCarter Actg. & Fin. Officer							
26 ITEM NO.	27 SCHEDULE OF SUPPLIES/SERVICES			28 QUANTITY ORDERED, ACCEPTED *	29 UNIT	30 UNIT PRICE	31 AMOUNT
1	Title of material ordered, author any other identifying information			1	sub bk ea	\$xx.xx	\$xx.xx (block 20 multiplied by block 22)
2	Second item ordered from same publisher			1			
(For periodical orders)							
ADVANCE PAYMENT AUTHORIZED							
Contractor's invoices must be submitted before payment can be made. Contractor will be paid on the basis of his invoice which must state (1) the starting and ending dates and (2) that orders have been placed in effect for the addresses required, or (a) that the orders will be placed in effect upon receipt of payment.							
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35 SIGNATURE AND TITLE OF RECEIVING OFFICER				36 TOTAL CONTAINER		37 TOTAL RECEIVED	
38 RECEIVED DATE				39 TOTAL CONTAINER		40 TOTAL RECEIVED	

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DDC FORM 312
MAR 75

REPLACES FORM 18, MAR 68 AND DDC FORM 312,
MAY 72 & 73. THE SUPPLY IS EXHAUSTED

Accessions Ledger Part a

DEBIT NO.	DATE RECEIVED	NO. OF VOLUMES	SOURCE	DTIC NUMBER
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83	147 6/17/83	1	GPO	832 6 0
83	148 6/17/83	1	GIFT	
83	149 6/18/83	1	Congressional Qtly	838 1 6

Accessions Ledger Part b

DLA NUMBER			COST	TITLE
83	F	3016	1 5.00	Appendix to the Budget of the U.S. Govt. FY 84
83	F	3016	6.50	Special Analysis, Budget of the U.S. Govt.
83	F	3017	1 1.00	Statistical Abstract of the U.S. 1982
83	M	3206	3 6.00	Intelligent Tutoring Systems
83	Gift		00.00	AGARD History
83	M	3307	3 2.45	Washington Information Directory

SHELF LIST CARD INFORMATION

TK				✓
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S477	Skolnik, Merrill Ivan, 1927-			
1962	Introduction to radar systems. New York, McGraw-Hill,			
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	648 p. illus. 25 cm.			
	Includes bibliography.			
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	TK6575.S477	621.3848	61-17675	‡
b	Library of Congress	10,		

D70-176McGraw/16/70\$39.50

PERIODICAL RECORD

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P. O. Box 1807
 PREPARED BY **Ann Arbor, MI 48106** IN BINDERY **INDEX**

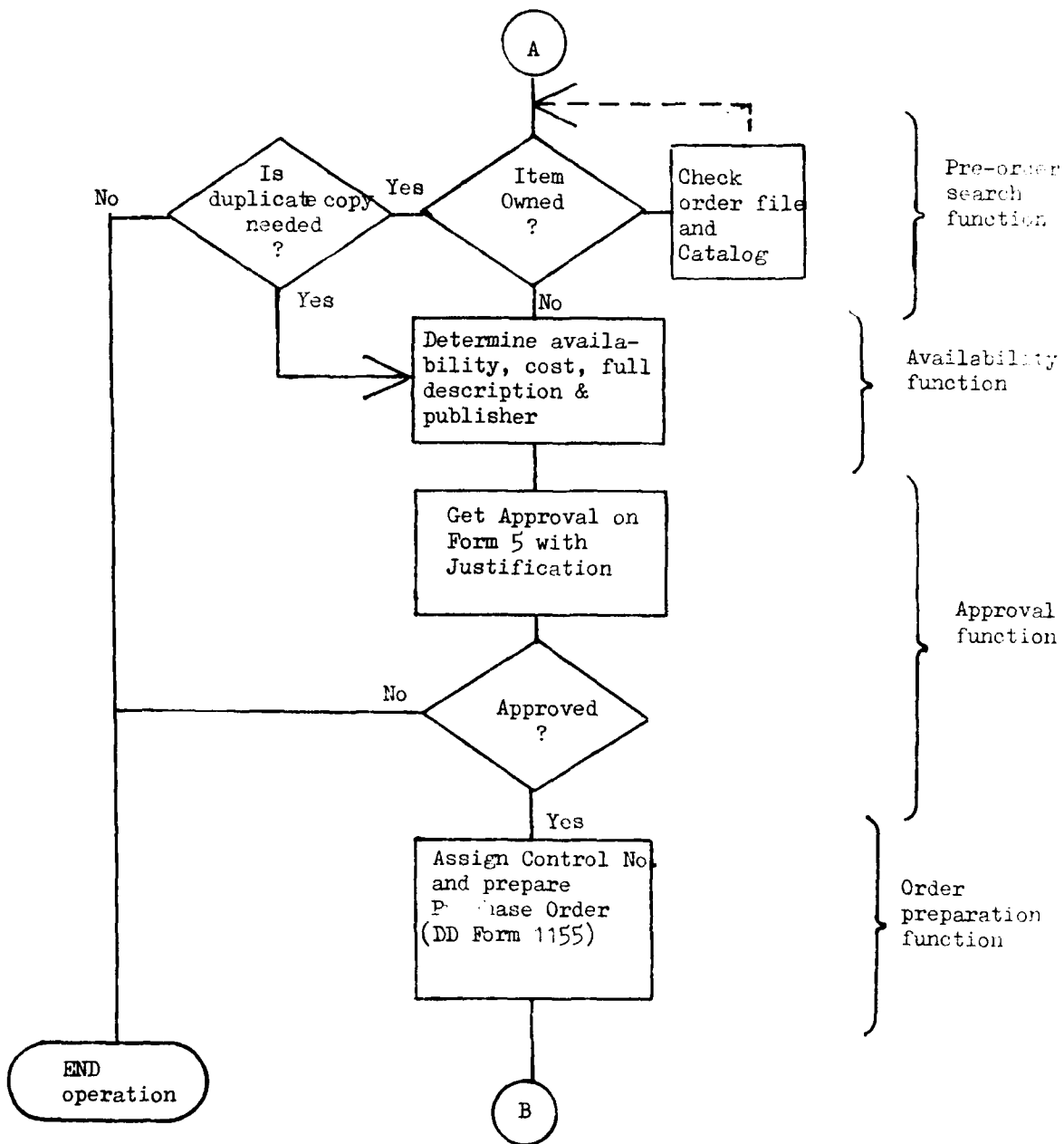
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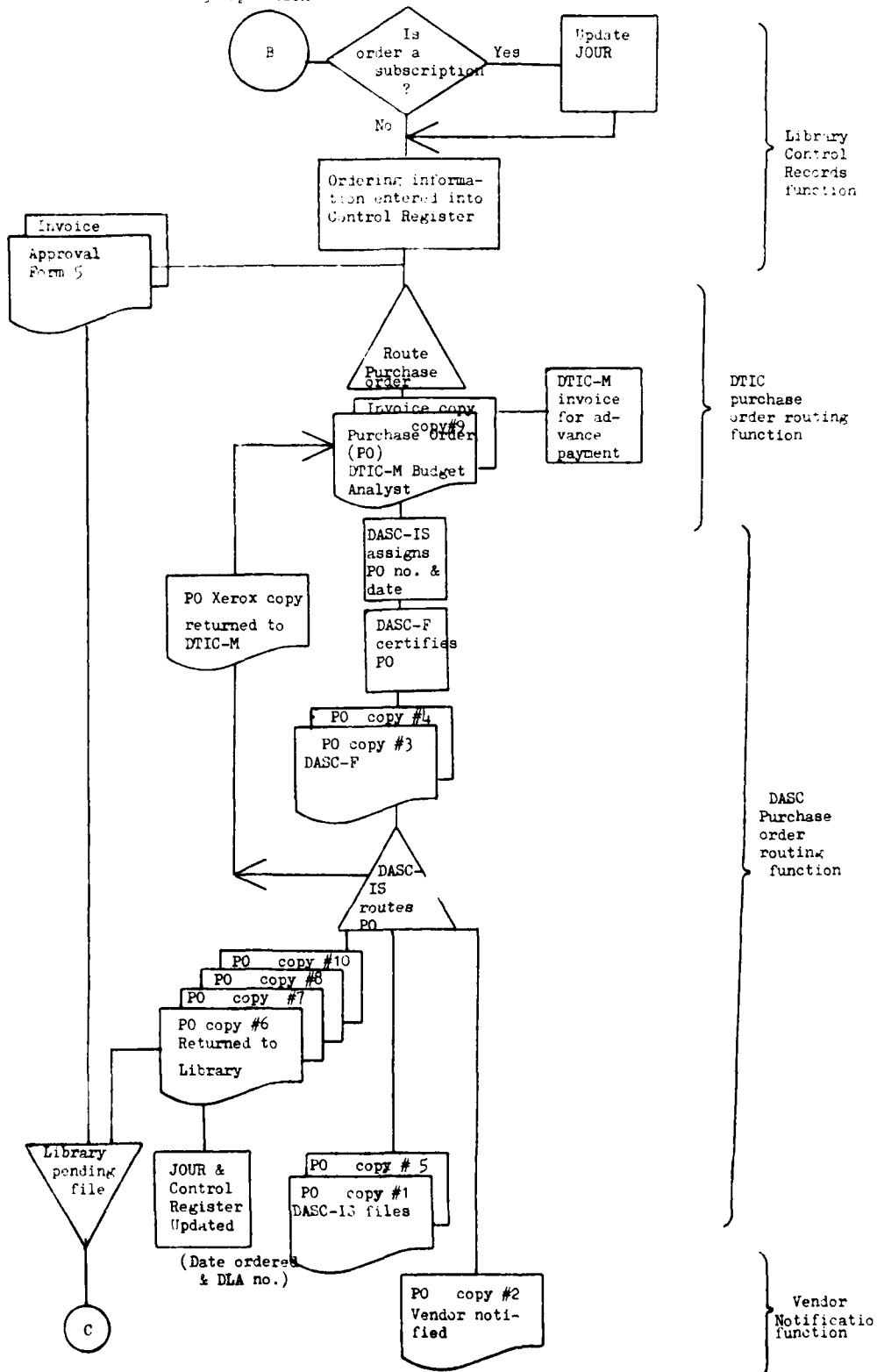
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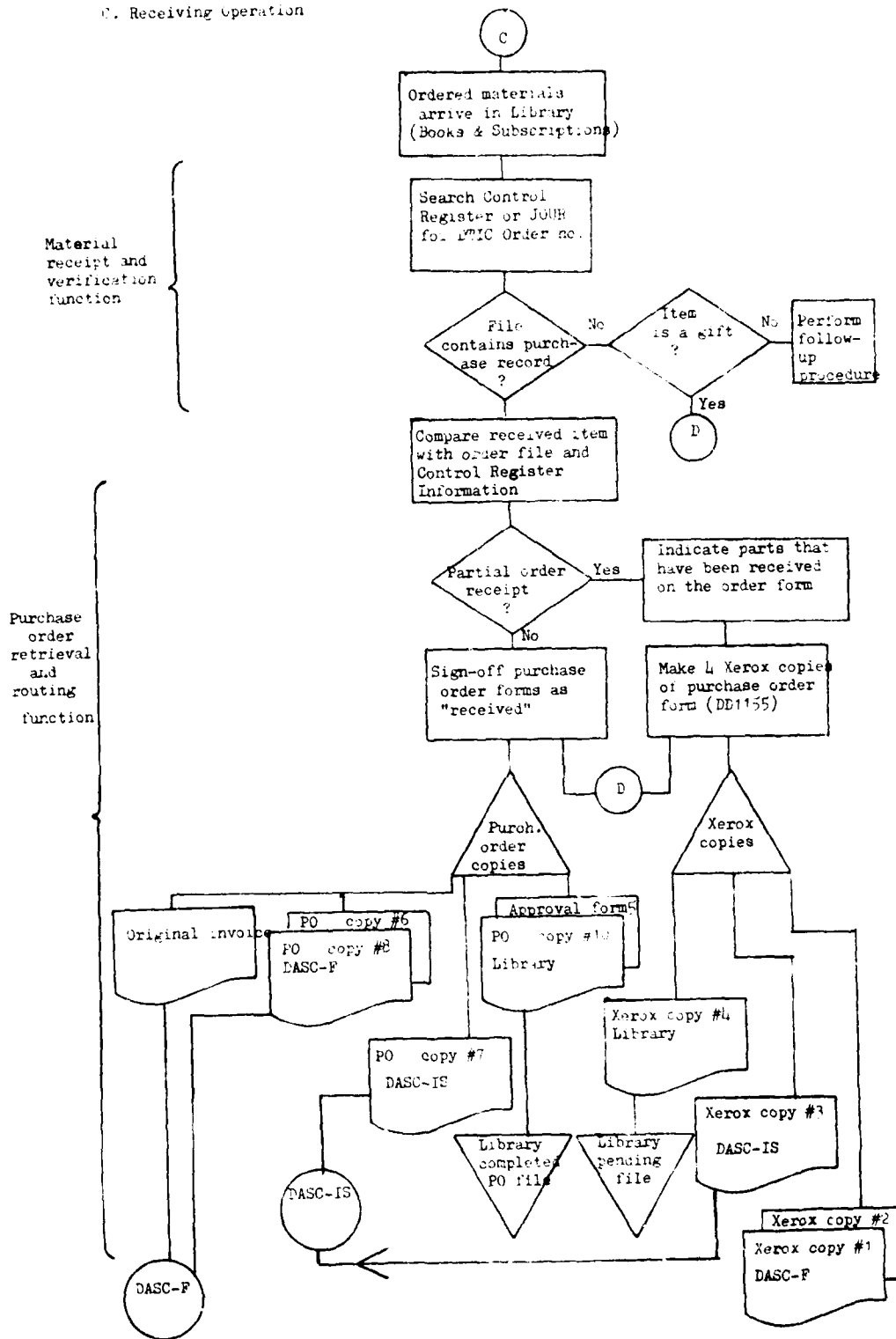
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B. Ordering Operation.



C. Receiving Operation



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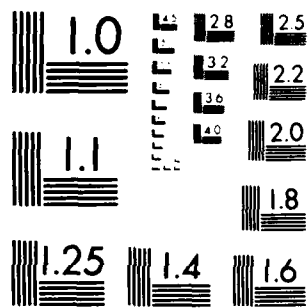
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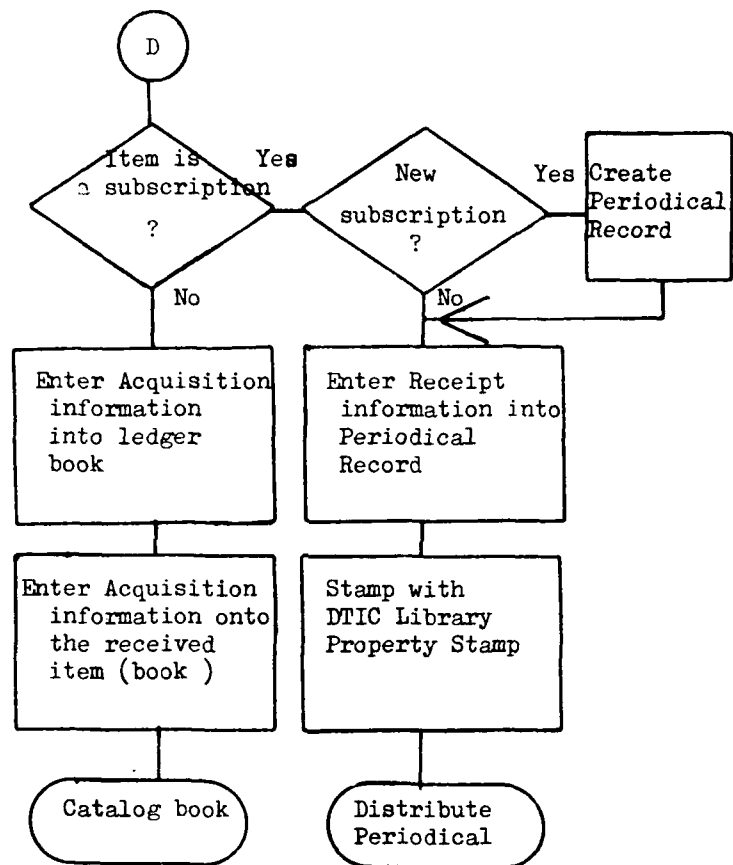
3 84

DTIC



MICROCOPY RESOLUTION TEST CHART
NATIONAL BUREAU OF STANDARDS-1963-A

D. Accounting Operation



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