U. S. ENVIRONMENTAL PROTECTION AGENCY

LIBRARY SYSTEM

STAFF MANUAL

Prepared by

Helen Judith Jarrell

June 1975

TABLE OF CONTENTS

	Page
Preface	
Introduction	i
EPA Library System	1
Role of the Library Systems Branch	2
Role of the Headquarters Library	3
Role of the Central Technical Library	4
General Information Regarding Specific Libraries	5
EPA Headquarters Library - General Facts	6
Floor Plan	7
Description of Collection	8
Selection and Disposal of Materials	10
Policy	
Procedure	
Weeding of Collection	12
Policy	
Procedure	
Gifts and Exchange	14
Policy	
Procedure	
Acquisition of Material	15
Policy	
Procedure	
Cataloging	27
Policy	
Catalogs Published	
Procedure	
Processing	35
Policy	
Procedure	
Circulation	38
Policy	
Procedure	
Interlibrary Loans	41
Policy	
Procedure	
Reference Services	42
Policy	
Literature Searches	44
Bibliographic Services	53
Selective Dissemination of Information (SDI)	55

Page

Evaluation Service	55
Accessions Lists	55
Special Equipment	56
Policy	
Procedure	
Translations	58
Policy	
Possible Source of Material for Translation	
Procedures	
Foreign Literature Exchange Program	61
Policy	
Procedure	
Budgets	64
Policy	
Procedure	
Travel	65
Policy	
Procedure	
Contracts	66
Policy	
Procedure	
State and Local Liaison	67
Policy	
Procedure	
Publications	70
Policy	
Procedure	
Publications of the EPA Library Systems Branch	71
Inventory and Property Accountability	72
Policy	
EPA Property Management Regulations, Part 115-27	73
Statistics	74
Policy	
Training	75
Staff	
User	
Public Relations Activities	76
Interagency Agreements	77

PREFACE

The EPA Library System Staff Manual has been in preparation for almost two years, and represents a considerable effort in defining policies and procedures for the library system in general, and for the Headquarters Library in specific. It is the responsibility of the individual libraries to adjust portions of the manual to their own needs - both in the policy and procedure areas.

The staff manual is printed and distributed in a loose leaf format for easy up-dating and expansion. All libraries should feel a responsibility for bringing changes or additions to the attention of the Library Systems Branch as they occur. An attempt will be made from the central office to effect these changes and to include errata sheets with the newsletter mailings. It is essential that the library staff in each location keep the filing of these errata sheets up-to-date.

Our thanks are due to Helen Judith Jarrell who prepared the manual, to Barbara Pedrini who edited it, and to M. Truedence Glenn who typed it and prepared it for publication.

EPA LIBRARY SYSTEM

Introduction

There are presently twenty-eight libraries in the Library System of the U.S. Environmental Protection Agency (a library being defined as any unit with a collection, a staff member and available services). In addition to the Headquarters Library, there are libraries located in the ten Regional Offices, major and satellite laboratories, and specialized information centers in the EPA program offices.

The EPA Library System became operational in June, 1971. Its goal is to support Agency programs by providing users with ready access to all information pertinent to EPA's mission.

System-wide planning and coordinating activities are carried out through:

Annual meeting of EPA librarians, usually held in the fall. The first day of the meeting is devoted to discussions of the year's activities, future plans and problems. Some aspect of administrative training is the subject of the second day's meeting.

A monthly newsletter which updates system activities and publishes items of general library interest.

Training programs as appropriate.

Role of the Library Systems Branch

The Library Systems Branch has the overall coordination and support role for the EPA Library System. Its major activities include:

- Coordination of interagency library and information activities
- Centralized library program development, policy and guidance
- Centralized data processing
- Centralized contracting and services
- Centralized foreign literature exchange agreements
- Publication of the Book Catalog and the Journal Holdings Report
- Publication of a model procedures manual

Role of Headquarters Library

The Headquarters Library was activated in October, 1972, with the former Federal Water Quality Administration Library as its nucleus. It is responsible for services to the Headquarters staff in all areas and it provides backup support to all Agency libraries in economic, social, administrative, legislative and management literature. Its major activities include:

Acquisition and storage of books, journals, reports, and other printed materials in areas of law, economics, management and sociology to support Headquarters staff

Necessary indexing for any of the above

Circulation and interlibrary loan services

Reference, literature search and bibliographic services for above

Current awareness for Headquarters staff

Coordination with other Headquarters information activities

Backup support to other system libraries through duplicate microform, reproduced copies and loans

Maintenance of special collections such as environmental patents and foreign environmental reports.

Role of Central Technical Library

The Central Technical Library at the EPA laboratory in Cincinnati is the scientific and technical focal point for the EPA Library System. It serves Cincinnati at the local level and provides backup to all other EPA libraries in their need for scientific and technical information. It is also responsible for Agency-wide access to various scientific and technical computerized search files outside of EPA. Its other major activities include:

- Coordination of laboratory and university programs
- Centralized cataloging and book current awareness service for participating libraries
- Acquisition and storage of all types of material in various formats, primarily in science and technology
- Specialized indexing and abstracting for above as necessary
- Loan and interlibrary loan services
- Reference and bibliographic services and literature searches
- Publishing a local user's guide and other special publications
- Backup computerized literature search services for the EPA libraries.

GENERAL INFORMATION REGARDING SPECIFIC LIBRARIES

Each library should insert material on the following (as described in the local user's guide):

1. Staff, hours, location, telephone numbers

2. Physical organization of the Library

3. Personnel policy. All staff of the EPA Library System is governed by the Agency-wide policy enunciated in the EPA Personnel Manual.

4. Staffing

    a. Job descriptions for each employee at that location

    b. Job detail breakdown for each desk in the library

5. Description of the collection

EPA Headquarters Library

1. General Facts

   a. Location: the EPA Headquarters Library is in Room 2404, Waterside Mall, 401 M Street, S.W., Washington, D.C. 20460.

   b. Telephone Numbers:

      Circulation and Reference: (202) 755-0308
      Library Systems Branch: (202) 755-0353

   c. Library Hours:

      8:00 a.m. - 4:30 p.m., Monday through Friday, except legal holidays.

   d. Staff:

      Sharon Schatz - - - - - - - - - - Librarian

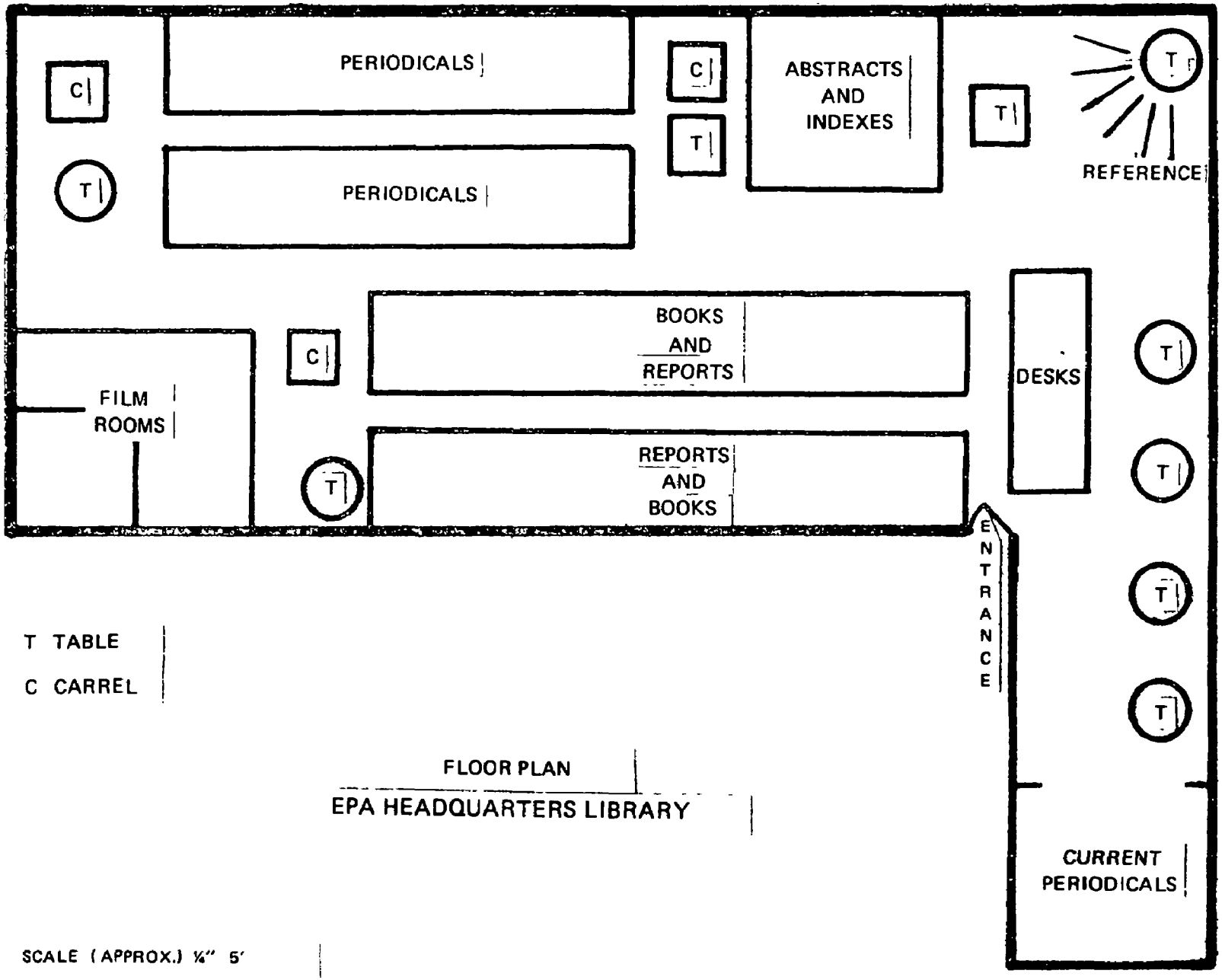
      Lillian Hibbs - - - - - - - - - - Documents

      Bruce Ingalls - - - - - - - - - - Inter-library loan and circulation

      Alice Wills - - - - - - - - - - - Acquisitions

      Barbara Pedrini - - - - - - - - - Reference

2. Physical Organization of Headquarters Library Facilities



FLOOR PLAN
EPA HEADQUARTERS LIBRARY

EPA HEADQUARTERS LIBRARY

3. Description of Collection

a. Types of materials: The Headquarters Library collection comprises books, journals, reports, maps, documents, and various microforms. The reference collection includes encyclopedias, dictionaries, bibliographical and reference books, handbooks, atlases, telephone directories and bibliographies.

The library has acquired back files of journals and abstracting/indexing services on microfilm and provides sufficient numbers of microfilm reader-printers to make use of these files practical. Current material is retained in hard copy while it has frequent use. The library collects information in the areas of economics, management, sociology, science and technology as they relate to environmental problems and adds to this list as the needs become apparent.

b. Organization of material:

Books: Library of Congress classification scheme

EPA documents: PB number

Non-EPA and NTIS documents: PB and assigned accession number

Periodicals and Newsletters: Alphabetically by title, chronologically within same title

Pamphlets: By subject in filing cabinet

Microfilm: Alphabetically by title

Theses: Alphabetically by author

3. c. Special collections: These include a limited law collection, basic technical data covering river basin material, theses and dissertations, annual reports of corporations, EPA report archives and a comprehensive section of foreign exchange literature, other Government Agency Reports, extensive microfiche and microfilm collection, reprints of EPA-related articles.

SELECTION AND DISPOSAL OF MATERIALS

Selection of Materials
Policy

1. Materials will be purchased if they are determined relevant to the collection and if:

   a. Headquarters staff, regional librarians, or outside librarians recommend them.

   b. Need is apparent from multiple interlibrary loans of the material.

   c. Gaps in the collection are thereby filled.

2. Collection will include books, journals, films, reports, microfiche, maps, charts, documents, etc.

3. Attempts will be made to collect relevant non-published materials and information. Libraries will maintain a directory of persons and organizations likely to be sources of such information in various subject areas.

4. Desiderata lists can be maintained by librarians to aid in establishing priorities regarding selection of items for purchase.

5. Replacement policy for items missing from library is determined on a similar basis as book selection.

Procedure

1. Useful selection tools include the following:

   a. Library Journal and other trade and professional publications

   b. Environment Abstracts

   c. Publishers' brochures

   d. American Book Publishing Record

   e. Current journals and newsletters in the environmental field

f. Monthly accessions lists

g. Current indexing and abstracting journals in the environmental field

h. Current accessions lists from other non-EPA libraries

i. Bibliographies

j. Book review services such as The New York Times, Washington Post, Wall Street Journal, etc.

k. Book Exhibits

l. Reference works and directories, such as the Directory of Environmental Information Sources

2. New publications are brought to the attention of the librarian through:

   a. Professional meetings

   b. Librarians

   c. Researchers

   d. Library users

   e. Interlibrary loan requests

3. Literature searches often lead to selection of materials in new areas.

4. Replacement copies may be obtained through:

   a. Gifts and Exchange lists

   b. U.S. Book Exchange

   c. Out-of-print book dealers

   d. Duplicate copies from other EPA libraries

5. The EPA Book Catalog, accessions lists and the Journal Holdings Report are particularly helpful in determining what additional journals and books should be ordered to stock the library properly in each of the environmental subject areas. In addition, by reviewing the inventories of nearby EPA libraries, the librarian can determine whether to purchase an item or to borrow it from another EPA library. Libraries in a given region can coordinate inventories so that unnecessary duplication of holdings does not occur.

Weeding of Collection Policy

1. Material will be discarded when:

   a. It has been superseded by newer material.

   b. It has become irrelevant.

   c. Annual cumulative volumes arrive (then monthly or weekly editions can be discarded).

   d. It can be replaced by film (this applies particularly to serials).

   e. Changes in emphasis of subject areas of concern to users and local organizations.

2. If there are large gaps in the holdings the librarian can

   a. Discard entire set

   b. Fill in gaps through

      1) U.S. Book Exchange

      2) Out-of-print book dealers

      3) Duplicate copies from other EPA libraries

      4) Gifts and exchange lists

3. Discarded material, if still usable, should be sent to an appropriate library or other interested groups.

SELECTION AND DISPOSAL OF MATERIALS

Procedure

1. Librarian should go through collection periodically, approximately once every three months.

2. "Want" and "available" lists of material will be sent to all libraries in the system.

3. Requests will be granted on a first-come, first-served basis.

4. If no one in the system wants material, determine whether it goes to the Library of Congress, U.S. Book Exchange, or other interested libraries.

SELECTION AND DISPOSAL OF MATERIALS

Gifts and Exchange Policy

1. Librarian should request notification, when possible, before gifts are delivered to library.

2. Librarian should plan a visit to the collection, if possible. Otherwise permission should be granted to forward collection to library where it will be reviewed.

3. Librarian will then select materials of value to EPA collection in accordance with procedures listed in "Selection of Material."

4. When gift collection is sent without prior notification, librarian should interview donor, if possible, to determine how it will enhance EPA collection.

5. Criteria for acceptance of gift:

   a. Material not already in collection.

   b. Material relevant to collection.

   c. Something currently in high demand, but may not be retained in permanent collection.

   d. Items that are current.

   e. Duplicate items, if useful.

Procedures

Same procedures listed in "Selection of Material" and in "Weeding."

ACQUISITION OF MATERIAL

Policy

1. The library is responsible for ordering all publications, book and non-book, for use by the library.

2. Centralized ordering services are used wherever possible.

   a. Centralized book buying contract

      1) Through this contract all libraries may order books from a single vendor, taking advantage of discounts and simplified ordering procedures. The contract eliminates purchase orders on each individual item and this provides for much quicker receipt of the material.

      2) The service for books is:

         E.B.S., Inc., Book Service
         290 Broadway
         Lynbrook NY 11563

   b. Centralized journal buying contract

      1) This contract operates just like the book contract, except that a service charge is made to cover computer control of the orders, establishment of common expiration dates and multiple year subscriptions, and provisions for annual renewal reports.

      2) The subscription service for journals, serials, periodicals and loose-leaf services is:

         EBSCO Subscription Service
         8000 Forbes Place
         Suite 204
         Springfield VA 22151

ACQUISITION OF MATERIAL

Policy

2. c. The Contracting Officer has designated approximately 200 Ordering Officers to process books and subscriptions. Any EPA employee may order materials through the EPA vendors and obtain normal EPA discounts. All orders must be approved by an Ordering Officer. All invoices on books must be signed by the Ordering Officer after verification of receipt and sent to the finance officer for payment.

   d. Package Contracts. Special contracts have been and will again be negotiated for services such as Chemical Abstracts, Biological Abstracts, and Environment Abstracts. These are indexing and abstracting services, copyrighted and normally available only from the publisher, and not providing discounts. By volume buying of several services provided by any one of these publishers, substantial savings can be realized.

3. An attempt is made to keep all subscriptions on a calendar year basis unless this is unacceptable to the publisher. This simplifies ordering records and procedures. Subscriptions are placed on a three-year basis when profitable to do so, unless the Ordering Officer specifically requests other arrangements.

4. Orders should be sent out regularly. Routine orders should not be allowed to accumulate for irregular periods and then be sent out all at one time. Orders should be mailed every two weeks, even if only a few items are involved.

5. An identification number is used to specifically identify each individual Ordering Officer. For Headquarters Library the number is 525 or 526 for books, and 25 or 26 for journals.

ACQUISITION OF MATERIAL

Procedure

1. Deposit accounts are maintained with the Government Printing Office (GPO) and with the National Technical Information Service (NTIS). Items are purchased as needed and charged against the accounts, which are replenished when a low balance is reflected on the monthly bill.

2. Monographs

   a. These materials are ordered through EBS.

      1) Requests are submitted by the library staff or users and should include author, title, publisher, price, and quantity (if relevant).

      2) Procurement requests/requisitions are completed.

         a) Each requisition shall contain sufficient data to identify the specific item desired, i.e., title, author, quantity, unit cost, publisher, publisher's address, etc. The requisition shall contain full accounting data which shall include as a minimum: (1) the appropriation number, (2) document control number (3) accounting number, and (4) object class

         b) Submission of multiple requisitions at the same time is discouraged, especially if costs are made to the same accounting code. The Ordering Officer should try to combine desired requests for multiple items on a monthly or semi-monthly basis.

2. a. 2) c) The Ordering Officer shall include the following data on each requisition in the exact format as the sample below:

U.S. Environmental Protection Agency
Contract: 02-12-4783
Call Ordering No.: 783 - 44 - 526
Accounting: 5740104 510116C880 31.15

Approved: _____
Ordering Officer Date

Telephone Number: 202/755-0308

Environmental Protection Agency
Library Systems Branch, Room 2903
401 M Street, S.W.
Washington, DC 20460

d) Each requisition shall be originally signed and a call/ordering number entered on each as specified in No. 3 below:

3) Call/Ordering Number:

a) For purposes of identifying requisitions placed under the contract, each Ordering Officer has been assigned an identifying number which shall be used to make up a call/ordering number to be placed on each requisition as indicated above. The identifying numbers assigned are listed in the Contracts as "Ordering Officers' Identifying Codes."

b) The call/ordering number assures positive identification of who submitted the requisition the chronological age of the requisition. In formulating the call/ordering number the Ordering Officer shall insert the numerical number of the month, after the Ordering Officer's identifying code, followed by a serial number which shall indicate the number of orders placed during the month.

Sample:

Call/Ordering No. 1-04-001

1 = Ms. Ruth K. Seidman
U.S. Environmental Protection Agency
Region I Library
Room 2211-B, JFK Federal Building
Boston MA 02203

04 = April

001 = First requisition submitted during April

The serial number shall start at 001 on the first day of each new month.

4) IMPORTANT: Ordering Officers shall ascertain that no requisition be submitted to the contractor unless funds are committed as being available by the Commitment Clerk on EPA Form 1900-8.

Procedure

2. a. 5) Upon completion procurement requisitions are sent for approval in the following order to:

a) Authorized Ordering Officer

b) Branch Chief

c) Division Chief

d) Commitment Clerk

6) Once approved, the order is sent to the book contractor. A copy is sent to the finance office for obligation of funds.

b. The following records should be kept:

1) Each book ordered is recorded on an Update Library Book Holdings Form that is filed alphabetically by title, in an open file. Upon receipt of the item the form is marked "received" and filed, again by title, in an open cataloging file. When cataloging is completed, the form is filed alphabetically by title in a closed file.

2) The requisition form is kept open until all items have been received. Items are checked in on the form as they arrive. When all items have been received the requisition is marked "complete" and filed chronologically according to the internal office number (consecutive numbers are assigned during a calendar year).

c. Exception: Books which must be ordered from publishers who do not deal with contractors.

1) Publishers can be contacted for a copy of their catalogs.

2) Follow chain of approvals outlined above.

3) Order is sent to procurement office marked "must order direct." Procurement office then prepares

a government purchase order that is sent directly to the publisher.

4) Follow the same record procedure as described above.

5) The originating office should receive its copy of the purchase order as well as a receiving report of the purchase order on items that go to the procurement office.

a) Originating office copy is kept for office file.

b) Receiving report is signed and sent to the finance office upon receipt of merchandise.

d. A procurement request must be prepared for all items that have been received but not ordered through channels. Include a justification describing the circumstances surrounding acquisition, then proceed as usual.

3. Journals, serials, periodicals, loose-leaf services

a. Follow the same procedures as outlined above except that the orders go through EBSCO subscription services.

b. Order both hard copy and microfilm of annual cumulations of journals whenever possible.

c. Follow procedures outlined for exceptions.

4. Microfilm

a. The procedure outlined above is followed.

b. Follow procedures outlined for exceptions.

ACQUISITION OF MATERIAL

Procedure

5. Deposit Accounts

6. Microfiche

   a. Microfiche are purchased individually and through SRIM from NTIS deposit account, subscription services.

      National Technical Information Service
      U. S. Department of Commerce
      5285 Port Royal Road
      Springfield VA 22151

      1) A deposit account Order Blank Form NTIS 173 is used to order NTIS materials, or orders may be placed by phone.

      2) This is sent directly to NTIS and does not require approvals.

   b. The following fiche are received automatically:

      1) APTIC

      2) DOCUMERICA

      3) Air Pollution Effects on Plants and Animals

      4) CIS

      5) EPA Reports

7. Maps

   Maps are obtained from the U.S. Geological Survey on an automatic distribution basis.

8. GPO publications

   a. GPO publications are purchased through a deposit account using the Deposit Order Blank, sent to:

Superintendent of Documents
Government Printing Office
Washington DC 20402

b. This is sent directly to GPO and does not require approvals.

9. EPA documents

a. Two copies of all EPA scientific and technical reports must be sent to the Headquarters Library.

b. A copy of all EPA documents must be sent by the originating office to NTIS for processing, classification and entry into their data base.

1) NTIS provides a microfiche copy to each EPA library automatically.

2) NTIS prepares a quarterly bibliography for EPA of this material. The bibliography contains citations, abstracts, as well as author, corporate source, subject, contract, and title indexes for all EPA reports.

3) Additional copies of individual reports are available from NTIS in either hard copy or on microfiche.

10. Other documents and reports

a. Other government reports are often available only from the issuing agency. These can often be obtained free upon request.

b. A fiche copy is obtained if possible.

c. Order from NTIS or GPO if possible. Otherwise order from issuing agency.

11. Each library is on several distribution lists to receive documents free of charge on an automatic basis. This should be done whenever possible.

12. EPA Form 1300-5 is useful for obtaining reprints:

TO: DATE:

WE WOULD APPRECIATE HAVING _____ REPRINT(S) OF YOUR ARTICLE ENTITLED
(Title and Author)

PUBLISHED IN

IMPORTANT: REQUEST SHOULD NOT BE HONORED UNLESS ADDRESS IS FILLED IN

Remove this label and use as return address. Press label firmly on return envelope. →

EPA FORM 1300-5
(2-72)

NAME

13. Rush procedure to cover urgent orders and special requests for books:

    a. Phone publisher or contractor directly.

    b. Notify him of urgency and give all bibliographic data.

    c. Give contractor the call ordering number.

    d. Go through regular approval procedure.

e. For contractors, only, send procurement request noting on it date of phone confirmation.

f. When cash rush order is received from publisher only:

1) Have publisher confirm payment received.

2) Mark "cash reimbursement" on procurement request, describe item and fill in bibliographic data.

3) Send through regular approval channels. Items under $25 require additional approval of the Facilities Support Services Division. Items of $25 and over require approval of the Contracts Management Division.

4) Once approved, request is hand carried to Imprest Fund (petty cash) office for reimbursment.

14. Procedure for claims such as cancellations, missing journal issues, delayed or unfilled orders:

a. Books:

1) Write or call EBS.

2) State call order number and explain which items on the requisition are involved in the claim.

3) Ask status and request a follow-up on these items.

b. Journals:

1) Contact EBSCO and follow same procedure. In addition, state the EBSCO invoice number for the item involved.

2) If desired, EBSCO "Adjustment Request" may be completed and mailed to EBSCO or directly to publisher.

c. Follow the same procedure when dealing with NTIS and GPO.

ACQUISITION OF MATERIAL FOR LIBRARY

15. Claims procedure for returns, duplicates, wrong items, defective items:

    a. Circle item on invoice.

    b. Send item back and ask for adjustment in billing or make full copy of invoice, pay bill, return item, and receive credit.

CATALOGING

Policy

1. Cataloging of books is accomplished centrally in Cincinnati for the entire EPA Library System.

2. Cataloging of EPA documents and non-EPA documents is performed by each individual library, in accordance with established procedures for the organization of material.

3. Microfiche are cataloged by issuing source.

4. Organization of Material:

   a. Books: Shelved according to the Library of Congress classification scheme.

   b. EPA Documents: PB number

   c. Non-EPA and NTIS Documents: PB and accession number

   d. Periodicals and Newsletters: Alphabetically by title, chronologically within same title

   e. Pamphlets: By subject in filing cabinet

   f. Microfiche:

      1) EPA Documents: PB number

      2) Non-EPA Documents: Filed by appropriate ID number

   g. Microfilm: Alphabetically by title

   h. Theses: Alphabetically by author

CATALOGING

Catalogs Published

The EPA Library System has published, or publishes on a regular basis, the following catalogs:

1. EPA Book Catalog through July 31, 1973.

    a. The holdings of each library in the EPA Library System, through the relevant date, are listed herein.

    b. Separately published monographs are arranged by title, alphabetically; an effort was made not to include reports.

    c. The file lists call number, author, publisher, subject headings, and location of each item. It can be accessed by author, subject or call number.

    d. The entire catalog was distributed on microfiche in December, 1974, and each participating library also received a computer printout of its individual holdings, by title, author, subject and call number.

    e. The full catalog in hard copy is also available.

    f. The EPA Book Catalog was produced by the Library Systems Branch Office at Headquarters, through a centralized effort.

CATALOGING

2. Accessions Lists

   a. Each month the Central Technical Library in Cincinnati publishes Accessions Lists, reflecting the newly acquired books of the participating libraries which were cataloged during the month.

   b. The format is like the EPA Book Catalog (see 1(b) and (c) above).

   c. Each library receives the full Accessions List for the month, with author and subject runs as well. Generally, a separate printout of each library's individual acquisitions is provided.

   d. Cumulations are printed every 3 months.

   e. A composite list (covering August, 1973 to December, 1974) was published in January, 1975, representing basically the EPA Book Catalog for 1974.

   f. Additional cumulations will be produced annually.

CATALOGING

3. EPA Journal Holdings Report

   a. This Report is produced centrally by the Library Systems Branch Office at Headquarters.

   b. Journals are listed alphabetically by title, followed by a holdings entry for each library owning the journal.

   c. The full Report is updated and published annually, in January, and supplemented in July.

   d. Each participating library is provided with a computer printout of its individual Journal Holdings.

4. EPA Reports Bibliography

   a. Published by the National Technical Information Service for the Environmental Protection Agency, the Bibliography lists all reports originated by EPA or its predecessor agencies which are available at NTIS.

   b. The Bibliography contains multiple indexes: title, subject, corporate author, personal author, contract number, accession/report number.

   c. The first Bibliography was published in July, 1973, covering the period pre-1970 to April 1, 1973.

   d. An EPA Reports Bibliography Supplement was published in August, 1974, listing those EPA reports entered into the NTIS system between April 1 and December 31, 1973.

   e. A second supplement issued in early 1975 covers reports entered into the NTIS system in 1974.

   f. Beginning in March 1975 an EPA Abstract Bulletin will be issued by NTIS on a quarterly basis. The Bulletin will be sold by NTIS on a subscription basis.

CATALOGING

Procedure

1. Books

   a. New acquisitions for the entire EPA Library System are entered in the Accessions File maintained by the Central Technical Library in Cincinnati.

   b. Preliminary cataloging to the extent possible is performed by each individual library by completing EPA Form 2100-1 upon receipt of a book (see Figures 1 and 2 in Exhibit A) and sending the form to Cincinnati.

      1) If cataloging information is incomplete, send a copy of the title page and the verso with the Form 2100-1.

      2) Should original cataloging be required, Cincinnati may return the Form 2100-1 and request a copy of the title page and other pertinent data.

      3) For material published before, and including, 1965, or if no L.C. card number is shown in the book, presume that original cataloging may be necessary and send with the Form 2100-1 a copy of the title page, verso, foreword or introduction, table of contents.

      4) Subject headings should be assigned, if possible.

      5) Always include the Library Code Number, which requires three characters.

      6) It is not necessary to code a separate sheet for each copy of multiple copies. Only one entry is reflected in the catalog.

      7) See Exhibit , "Instructions for Entering Book Holdings into Accessions File", for more complete details.

c. Stamp book with library stamp and place in hold area until Cincinnati returns the Form 2100-1 with the appropriate call number indicated thereon.

d. The full cataloging information is added to the computer file in Cincinnati and reflected on the next Accessions List.

2. e. Instructions for updating individual journal holdings:

   1) Changes in existing holdings can be made by

      a) Clearly marking out that portion of the holding entry which is to be updated.

      b) Indicating beside it what the new entry should be.

   2) An entire entry may be deleted by

      a) Crossing out the entire holding entry.

      b) Writing "delete" beside it.

   3) New journals may be added by

      a) Writing out the complete title in proper alphabetical sequence.

      b) Writing the complete holding entry below it.

3. Non-EPA documents

   a. All non-EPA documents are to be coded and classified for a Document Control System File to enable automatic storage and retrieval.

   b. Upon receipt, enter document into Document Control System File in accordance with instructions in Exhibit B, "Document Control System."

   c. The following are to be included in the Document Control System:

      1) State and local government reports

      2) University reports

      3) Theses

      4) All items not in NTIS (and only these) or in EPA Reports File

5) Conference reports

6) Company reports

7) GPO printed reports not included in NTIS

8) Other government agency reports not included in NTIS

4. EPA documents and microfiche are cataloged by NTIS.

PROCESSING

Policy

1. Materials will be processed as rapidly as possible upon receipt.

2. Users will be made aware of materials as they arrive. The library will issue frequent listings of new materials received, new information identified but not necessarily available, announcements of forthcoming meetings or timely notes of special interest to the Agency.

3. Book jackets are displayed to call attention to new acquisitions.

Procedure

1. Accessions lists, issued to each individual library, are circulated to appropriate staff.

2. Upon receipt, all items are stamped with name and address of library.

3. Books

   a. Upon receipt, the procurement request is pulled and book is marked "received," with date, invoice number, and price paid on the page after the title page. When all items on a procurement request are received, the request is filed in a closed file.

   b. Patrons who have requested a book should be notified of its arrival.

   c. Classification number should be recorded on the spine of the book or on the front lower left corner. It is also written in pencil on top left of the title page.

PROCESSING

4. Journals

   a. Routing of journals is a local option.

   b. Journals are filed in the new journal section of the library.

   c. Annual cumulations of journals are ordered on microfilm, making it unnecessary to bind journals at the end of the year.

5. Microfiche

   a. Microfiche are cataloged by issuing source.

   b. Microfiche are filed in Numerical order.

6. Loose-leaf Services

   a. These are processed according to the publisher's instructions.

   b. Upon receipt of cumulative volumes, loose-leaf pages are discarded.

7. Microfilm

   a. Upon receipt, new film is examined for defects.

   b. Microfilm is filed alphabetically by title, and chronologically within the same title.

8. EPA Documents

   a. If a number has been assigned by the originating office, file the document by that number.

   b. If no number appears, file by title in the miscellaneous EPA document section.

   c. Upon receipt of PB number from NTIS, document is then added to PB file.

   d. Number is put in upper left-hand corner.

PROCESSING

9. Non-EPA documents

   a. All Non-EPA documents are to be coded and classified for the Document Control System (see Exhibit B) to enable automatic storage and retrieval.

   b. Documents are entered in the file by accession number.

   c. In the interim, before complete implementation of the Document Control System, sort documents and file as follows:

      1) U.S. government reports: file according to originating agency.

      2) State reports: file by state.

      3) Industry and association reports: file according to author or corporate author.

      4) University reports: file by state where university is located.

      5) Foreign government reports: file according to country.

      6) International reports: file according to international agency name.

      7) Congressional reports: file according to Congressional committee and chronologically within the committee.

      8) Conference reports: file according to state.

      9) Statutes: file in chronological order.

      10) Theses: file alphabetically by author.

      11) Radiation reports: file by docket number on document.

CIRCULATION

Policy

1. Materials circulate to EPA employees and to other libraries, both government and non-government.

2. Materials circulate for as long as needed. Another user's need of the material is the only reason for recall. Periodic checks will be made on loans to remind users they have the material and to ascertain need.

3. Reference material and current editions of journals and newspapers do not circulate. Individual libraries can decide on routing of new journals.

4. Xeroxing of materials with a copyright is permissible only for in-house use or for use by other government libraries.

Procedure

1. The circulation system consists of one master file containing one record per loaned document. Each record contains the document title, call number (or Journal Date) borrower's name, phone number, room number and building, check-out date, due date if interlibrary loan, and name and phone number of any individual waiting for the document. The file is maintained on-line.

2. The file is updated on-line and new titles are entered everyday (see Exhibit C, "Procedures for Logging On Low Speed Terminal--2741").

3. When document is returned, entry is deleted on-line. Exception: Interlibrary loan records for lending libraries are retained in the event of questions from lending libraries. File is purged every six months.

4. Microfiche desk readers are loaned on an "as needed" basis.

5. An on-line daily printout is obtained, listing outstanding titles in the numerical sequence in which they were charged. A weekly printout is obtained

listing alphabetically, by borrower's name, the titles charged to each client. A biweekly printout is obtained listing outstanding titles alphabetically. Every three months a printout is produced that shows each borrower's name on a separate page, with an alphabetical list of outstanding titles; this is sent to the user.

6. A clearance check is made for all departing employees.

CIRCULATION

Interlibrary Loans
Policy

1. Material not available in the Headquarters Library may be borrowed from other libraries for official use. Conversely, material that is needed by the headquarters staff but not available in the library is obtained from outside sources if possible. No charge is made by the Headquarters Library for this service.

2. Excluded from interlibrary loans are certain types of material e.g., non-circulating reference books, exceptionally rare or classified literature, current journals.

3. Libraries should have available, and make use of, the index and bibliographic tools required to fully identify resources that may be wanted from other participating libraries.

4. Materials will not be mailed within the metropolitan Washington, D.C., area to non-government libraries. Libraries outside the metropolitan D.C. area receive full interlibrary loan cooperation.

5. Loans will be made to other libraries, but not to individuals.

6. Interlibrary loans circulate for two weeks, though renewals sometimes may be arranged.

7. Requested government reports are sent on microfiche, on a retention basis, if the borrowing library has microfiche capability.

8. Journals will be loaned to non-government libraries; articles will not be xeroxed for non-government libraries.

CIRCULATION

Interlibrary Loans
Procedure

1. Verify completeness and correctness of citation using standard bibliographic tools.

2. An attempt is always made to obtain material in-house, especially journal articles. For monographs, consult EPA Book Catalog. If not listed there, try local sources. Institutions that are likely to hold the requested item can be identified in standard union lists such as "Index of NLM Serial Titles" and "Journal Holdings in the Washington Area."

3. Material is obtained from lending libraries by telephone solicitation or by use of the ALA Interlibrary Loan Request Form (available from Gaylord, Syracuse, NY) or the GSA Inter-Library Loan Request Form (available from the GSA Supply Schedule). If the material is requested by phone, fill the request and complete the ILL form.

4. Material is borrowed from EPA libraries in the same manner, except forms are seldom used.

5. Records are kept in computerized circulation files described in "Circulation" section.

6. Every six months a computer printout is provided indicating all interlibrary loans borrowed by EPA and returned to lending libraries. Titles are then purged from files.

7. Material is sent air mail (preferred method) or first class. In the metropolitan Washington, D.C. area use inter-agency mail.

8. Borrower should return the materials to his own agency library.

9. Due date should be plainly stated on the accompanying form. Borrowing libraries should allow at least two days' transit time.

REFERENCE SERVICES

Policy

1. Reference services are available to fulfill the information needs of the headquarters staff and to provide backup for other EPA libraries. The reference staff will identify material for other government libraries but will not do extensive literature searches or prepare bibliographies.

2. Within EPA, literature searches or bibliographies will be done based on the following criteria:

   a. Usefulness to agency personnel.

   b. Usefulness to EPA programs.

3. Service will be provided in descending order of priority:

   a. EPA headquarters personnel

   b. EPA libraries

   c. EPA personnel

   d. EPA contractors

   e. Government agencies

   f. Libraries

   g. Individuals

4. A reference librarian will be available at all times to help locate information and materials.

5. The reference librarian must maintain an awareness of different program areas within EPA that can be used as reference sources.

6. Emphasis is placed on establishing and maintaining a good working relationship with many outside information sources such as government agencies, institutions (private and government), companies, universities,

foundations. Each library should have a copy of any thesaurus or index published by information centers used by that library.

7. An attempt will be made to identify and fill gaps in the collection.

8. Referral will be made to appropriate outside reference sources whenever necessary. To this end, directories and lists are maintained and continually updated.

9. Search parameters must be carefully defined, with the requester stating the exact nature of the information desired, the degree of depth necessary for his research, and the information already in his possession.

READY REFERENCE

1. The library staff is responsible for providing quick answers to general or specific questions.

2. A collection of frequently used reference materials is maintained, in a separate location, to enable quick access to information.

REFERENCE SERVICES

LITERATURE SEARCHES

1. Literature searches are performed for EPA personnel upon request.

2. The types of searches offered include retrospective searching (batch), which provides a user with all references on a specific subject or subtopic of the subject for a given period of years, or on-line searching, which allows a user to search information files for bibliographic data and abstracts and receive the requested material immediately.

3. Literature searches may be done manually or may be computer assisted.

   a. Before searching with a computer, use such standard bibliographic tools as:

      1) Indexing services

      2) Abstracting services

      3) Periodical literature

      4) Catalogs

      5) Special bibliographies

      6) Reference works

   b. If additional material is required, or if specific information is not found, a computer search may be initiated.

      1) A search strategy is formulated by obtaining key words and concepts from a discussion of needs with the person requesting the search.

      2) Appropriate data bases are selected.

LIBERATURE SEARCHES

3) Information is fed into the computer in accordance with instructions given with each data base.

c. If appropriate data bases are not available to individual libraries, the search is directed to the Cincinnati or Headquarters Library by completing EPA Form 2170-1, "Literature Search Request" (see Figures 1 and 2). Research Triangle Park runs searches for local staff, not EPA at large. The data bases accessible at each location are listed in Figures 3, 4 and 5.

d. Order a computer assisted literature search as follows:

1) Review the request to be sure it is a legitimate search for a computer-based file, i.e., not too general and with a high probability that the information will be in one or more of the tape services abailable.

2) The local librarian should distribute completed copies of EPA Form 2170-1 as follows:

a) Originating library office

b) Accounting point to be charged (obligation copy)

c) Library performing search

d) Library performing search

e) Library performing search

3) If you are requesting searches on data bases which require reimbursement, make certain that you include all necessary information on the "Accounting Symbols" line, including appropriation number, obligation number, commitment number, fixed account number, object class, accounting point number, and estimated cost of the search.

LITERATURE SEARCH REQUEST

U S Environmental Protection Agency
National Environmental Research Center
Cincinnati, Ohio 45268
Attn Technical Reference Library

← MAILING ADDRESS (To which material should be sent.)

TO BE COMPLETED BY ORIGINATING OFFICE

ORGANIZATIONAL NAME AND MAILING ADDRESS
EPA Office of Water Program Operations
Water Supply Division
Room 1011 WSME, WH-450

USER'S NAME	USER'S TELEPHONE NO.	USER'S FIRST REQUEST
Robert Smith	(202) 42-68836	[X] YES [ ] NO

LIBRARIAN	LIBRARIAN'S TELEPHONE
Mary Calkins	(513) 684-8481

ACCOUNT POINT	APPROPRIATION NUMBER	OBLIGATION NUMBER	ESTIMATED COST

COMMITMENT NO	FIXED ACCOUNT NUMBER	OBJECT CLASS	

DETAILED STATEMENT OF REQUIREMENTS (Please describe, as specifically as possible, the subject matter for which the search is to be conducted. Define any terms that have special meaning. If there are points NOT to be included, please state these. Include language statement (English and/or non-English). Use additional page if necessary)

Require information on the toxic effects of blue-green algae in a freshwater environment, specifically, the effects of these toxic elements on humans, animals, fish and other aquatic organisms, and water quality. Mr. Smith is especially concerned with blue-green algae in connection with waste water treatment plants.

Keywords:

Algae	Fresh water
Blue-green algae	Water quality
Cyanophyta	Humans
Toxicity	Aquatic animals
Aquatic environment	Sewage treatment

Include citations, if available.

Helpful to provide names of ongoing research projects concerned with same area of investigation.

Specify if English only, or other languages (state which)

ON-LINE SEARCH	BATCH SEARCH	DATA BASES TO BE USED AND YEARS COVERED
	[ ] YES [ ] NO	

AUTHORIZING OFFICIAL *(For commitment of funds not to exceed the estimated cost above)*	DATE

TO BE COMPLETED BY NERC-CINCINNATI LIBRARY

THRESHOLD WEIGHT	BOOLEAN EXPRESSION

LIBRARIAN *(Signature)*	TASK NUMBERS	DATE RECEIVED	DATE COMPLETED

EPA Form 2170-1 (Rev 10-74) PREVIOUS EDITION MAY BE USED UNTIL SUPPLY IS EXHAUSTED.

Figure 1

LITERATURE SEARCH REQUEST

Headquarters Library
U.S. Environmental Protection Agency
Room 2404 Waterside Mall, PM-213
Washington DC 20460

MAILING ADDRESS (To which material should be sent.)

TO BE COMPLETED BY ORIGINATING OFFICE

ORGANIZATIONAL NAME AND MAILING ADDRESS

EPA Office of Water Program Operations
Environmental Evaluation Branch
Room 2818 Waterside Mall, WH-448

USER'S NAME	USER'S TELEPHONE NO.	USER'S FIRST REQUEST
Henry Jones	(202) 75-50604	x YES ☐ NO
LIBRARIAN		LIBRARIAN'S TELEPHONE
Sharon M. Schatz		75-50308

ACCOUNT POINT	APPROPRIATION NUMBER	OBLIGATION NUMBER	ESTIMATED COST
COMMITMENT NO	FIXED ACCOUNT NUMBER	OBJECT CLASS	

DETAILED STATEMENT OF REQUIREMENTS (Please describe, as specifically as possible, the subject matter for which the search is to be conducted. Define any terms that have special meaning. If there are points NOT to be included, please state these. Include language statement (English and/or non-English) Use additional page if necessary)

We would like a list of all documents dealing with the preparation and review of environmental impact statements and environmental assessments.

Keywords: National Environmental Policy Act (NEPA)
Environmental impact statements
Environmental impact
Environmental assessments
Council on Environmental Quality (CEQ)

ON-LINE SEARCH	BATCH SEARCH	DATA BASES TO BE USED AND YEARS COVERED
	☐ YES ☐ NO	

AUTHORIZING OFFICIAL *(For commitment of funds not to exceed the estimated cost above)*	DATE

TO BE COMPLETED BY EPA LIBRARY PERFORMING SEARCH

THRESHOLD WEIGHT	BOOLEAN EXPRESSION

LIBRARIAN *(Signature)*	TASK NUMBERS	DATE RECEIVED	DATE COMPLETED

EPA Form 2170-1 (Rev. 10-74) PREVIOUS EDITION TO BE USED UNTIL SUPPLY IS EXHAUSTED.

Figure 2

Computerized Bibliographic Services Available through EPA Cincinnati Library

ABI/INFORM (Abstracted Business Information)
APTIC (Air Pollution Technical Information Center)

BA-P (Biological Abstracts Previews)
Bibliography of North American Geology

CA Condensates (Chemical Abstracts Condensates)
CAIN (Agriculture)
CBAC (Chemical-Biological Activities)
CHEMICAL TITLES
CIRCOL (CIRC On-Line)
CMA (Chemical Market Abstracts)
COMPENDEX (Computerized Engineering Index)

ENVIRON (Environmental Information Retrieval On-Line)
ERIC (Educational Resources Information Center)
FWRS (Fish and Wildlife Reference Service)

Geophysical Abstracts
GEO-REFF (Geological Reference)
Bibliography and Index of Geology

IFI/PLENUM (patents)
INSPEC (physical sciences abstracts)

MEDLINE

NSA (Nuclear Science Abstracts)
NTIS/GRA (Government Reports Announcements)

OASIS (NOAA)
- Aquaculture
- Biological Information & Retrieval System
- Meteorological and Geoastrophysical Abstracts
- Oceanic Index

PANDEX/TRANSDEX
PSYCH Abstracts
SCISEARCH (Science Citation Index)
SOCIOLOGICAL ABSTRACTS
SSIE (Smithsonian Science Information Exchange)
SWIRS (Solid Wastes Information Retrieval System)

TOXLINE (Toxicology Information On-Line)

WRSIC (Water Resources Scientific Information Center)

Figure 3

Computerized Bibliographic Services Available through EPA Headquarters Library

ABI/INFORM (Abstracted Business Information)
Aim & Arm (abstracts of instructional materials)
APTIC (Air Pollution Technical Information Center)

CAIN (agriculture)
CIRCOL (CIRC On-Line, Wright-Patterson AFB)
Chemical Abstracts
COMPENDEX (Computerized Engineering Index)

ENVIRON (Environmental Information Retrieval On-Line)
ERIC (Educational Resources Information Center)

INSPEC (physical sciences abstracts)

New York Times Information Bank
NTIS/GRA (Government Reports Announcements)

OASI

OASIS (NOAA)
- Aquaculture
- Biological Information & Retrieval System
- Meteorological and Geoastrophysical Abstracts
- Oceanic Index

PSYCH Abstracts

Social Science Citation Index

Figure 4

Computerized Bibliographic Services Available through EPA Research Triangle Park Library

APTIC (Air Pollution Technical Information Center

CAIN (Agriculture)
CHEMCON (chemical literature)
COMPENDEX (Computerized Engineering Index)

GEO-REF (Geological Reference)

IFI/PLENUM (patents)
INSPEC (physical sciences abstracts)

MEDLINE

NSA (Nuclear Science Abstracts)
NTIS/GRA (Government Reports Announcements)

OASIS (NOAA)
- Aquaculture
- Biological Information & Retrieval System
- Meteorological and Geoastrophysical Abstracts
- Oceanic Index

POLLUTION (Pollution Abstracts)

SCISEARCH (Science Citation Index)
SEARCH (Systemized Excerpts, Abstracts & Reviews of Chemical
SSIE (Smithsonian Science Information Exchange)
SWIRS (Solid Wastes Information Retrieval System)

TOXLINE (Toxicology Information On-Line)

WRSIC (Water Resources Scientific Information Center)

Figure 5

REFERENCE SERVICES

LITERATURE SEARCHES

a) If your library will be paying for the search, these accounting symbols should be library symbols. If the requesting researcher's program will be paying for the search, the accounting symbols should be program symbols.

b) The estimated cost of the searches should be the last item on the "Accounting Symbols" line. The officer authorizing obligation of funds for the search will be obligating an amount up to the estimated cost, hence, make sure your estimates allow for sufficient funds to do the searches you request. If you have any doubt as to the cost of a search, contact the Cincinnati or Headquarters Library for assistance.

c) Accounting point numbers represent the location of the EPA accounting office which services you. They are as follows:

Acct. Pt. Number	Acct. Pt. Location	
1	Region I	(Boston)
2	Region II	(New York)
3	Region III	(Philadelphia)
4	Region IV	(Atlanta)
5	Region V	(Chicago)
6	Region VI	(Dallas)
7	Region VII	(Kansas City)
8	Region VIII	(Denver)
9	Region IX	(San Francisco)
10	Region X	(Seattle)
22	Research Triangle Park	
27	Cincinnati	
33	Las Vegas	
99	Washington, DC	

Figure 6

LITERATURE SEARCHES

4) The person providing the "Authorizing Signature" must be the responsible officer who normally obligates funds for the accounting symbols on the request. If the search being requested is to be paid for by your library, the person who normally obligates funds for purchase orders will sign the request form. The same rule applies to obligation of other than library funds. The program funds represented by the accounting symbols must be obligated by the officer who normally obligates the program's funds.

5) A copy of the Literature Search Request is to be sent to your accounting point by your library if the search requires reimbursable search charges. If the search request on the form is a "no cost" search, this is not required.

6) Searches which are requested on free data bases, only, may be telephoned into the Cincinnati or Headquarters Library and you may sign as the "Authorizing Officer" for any of these searches.

7) Search requests may be mailed to the Cincinnati or Headquarters Library. If there is some necessity to keep the search time down, send by telecopier. In some instances there may arise a need for very rapid search response. When this occurs the library will accept searches by telephone. Librarians are encourged to use this avenue only when necessary, and to follow the telephone call with a fully prepared EPA Form 2170-1 the same day.

8) When literature searches have been provided by the Cincinnati or Headquarters Library or from the search center, and the user requests specific items be furnished, please check the journal holdings list and other tools for local sources before going to Cincinnati for the hard copy.

REFERENCE SERVICES

LITERATURE SEARCHES

The Cincinnati Library should serve as the final backup in the system, not as the first source.

9) An evaluation form (see Figure 6) is sent to requester to obtain feedback on usefulness of the search. The form is to be completed and returned to Cincinnati (Headquarters does not use it at present).

4. If unable to conduct literature search within EPA, referral will be made to appropriate outside sources.

5. Literature searches may result in a bibliography, abstracts of identified information, or actual publications of information uncovered in the process of the search.

BIBLIOGRAPHIC SERVICES

1. This service is for EPA Headquarters personnel only. Based on time and resources, it will be made available to other EPA libraries.

2. Bibliographies can be compiled using the same methods and materials as those for literature searches.

   a. Check already published bibliographies on the subject.

   b. If these are unavailable, use manual methods of search as outlined under "Literature Searches."

   c. If necessary, use the computer as described in "Literature Searches."

3. Special and continuing bibliographies prepared by the staff become part of the collection for future updating and use and are available for distribution throughout the EPA library system. Control on the continuing bibliographies will be maintained in the Las Vegas Library. Bibliographies will be an integral part of the foreign exchange with certain countries.

SEARCH EVALUATION

U S ENVIRONMENTAL PROTECTION AGENCY
NATIONAL ENVIRONMENTAL RESEARCH CENTER
CINCINNATI, OHIO
Atten. TECHNICAL REFERENCE LIBRARIAN

User Name _____ Date _____

Organization Name _____

Librarian's Name _____

Search Question _____

_____

_____

_____

_____

How do you rank the search? (check one)

Very Good ☐ Good ☐ Fair ☐ Poor ☐

Comments: _____

_____

_____

_____

Total number of citations: _____

Number of relevant citations: _____

Data bank used: _____

Please list the subject headings which retreived the most relevant citations: _____

_____

_____

_____

EPA-238 (Cin)
(6-73)

Figure 7

REFERENCE SERVICES

SELECTIVE DISSEMINATION OF INFORMATION (SDI)

1. Profiles of EPA staff and programs are established and maintained so that information can be easily disseminated to match the needs of each.

2. Profiles (subject indexes) of users are run against the new portion of the appropriate data bases and the users receive cards or lists of citations of newly published literature in their areas of interest.

3. These notifications keep the staff aware of new materials which may be obtained through the library, thus keeping abreast of continually updated information.

4. Upon receipt new material is matched against the profiles to determine if the subject area is relevant to any of them. If a match is indicated, the person is notified of the available new material.

EVALUATION SERVICE

1. An attempt is made to evaluate, identify and maintain reference materials in order to direct users to the best sources of material.

2. This is achieved through evaluations of materials by

   a. Librarians

   b. Researchers

   c. Library selection tools, such as reviews

   d. Outside experts

ACCESSIONS LISTS

1. All book titles submitted to Cincinnati for cataloging are announced in a monthly Accessions List. Each participating library receives a list of its holdings and a composite list for all libraries, enabling it to call attention to new items for its users.

2. These lists cover primarily monographs.

SPECIAL EQUIPMENT

Policy

1. The purpose of special equipment is to provide quick and easy access to materials.

2. No equipment is purchased unless it is listed in the GSA Schedule.

3. If a major piece of equipment is desired, thoroughly investigate any possible problems involved in its use.

4. Criteria of selection:

   a. Ease of use

   b. Low maintenance cost

   c. Reliability

   d. Cost

   e. Necessary space to house equipment

5. Evaluations of equipment will be published in the EPA "Library Systems Newsletter". This will enable libraries to share information on what is worthwhile and what should definitely not be purchased again.

Procedure

1. A procurement request/requisition is typed up to enable ordering of special equipment. Information needed includes type of equipment, model number, price, manufacturer, quantity, originator's signature.

2. Procurement requests are then sent to:

   a. Originator

   b. Branch Chief

   c. Division Chief

   d. Commitment Clerk

Procedure

e. Facilities and Support Services Director for approval.

3. Once approved, the request goes to the procurement office where a purchase order is prepared and sent to the manufacturer.

4. When a purchase order is prepared, the originating office should receive an originating office copy and a receiving report of the purchase order.

   a. Originating office copy is kept for office file.

   b. Receiving report is signed and sent to the finance office upon receipt of merchandise.

TRANSLATIONS

Policy

1. A central translation service is provided for the exclusive use of EPA research staff and EPA libraries. This covers all technical documents primarily for translation from foreign languages into English, but translations can also be provided from English into any other language.

2. Requests for translations of legal and administrative or other foreign exchange documents should be directed to Headquarters Library.

3. No charge is made to researcher or to EPA libraries for translation services.

4. Copies of all items translated into English by EPA will be sent to the National Translation Service at the John Crerar Library (Chicago), as well as to NTIS. Requests for translation services received from outside EPA should be referred to either of the above.

5. Translation services include abstracting; preparing of directories, bibliographies and reviews; editing; printing; binding; rapid service translating; and preparing translation manuscripts in reproducible or draft format.

Possible Sources of Material for Translation

1. Information obtained from literature searches by EPA information centers and from other data systems.

2. Material that researchers are given by their counterparts in foreign countries.

3. Citations seen by researchers in journals, field abstract bulletins, and in other general reading.

TRANSLATIONS

Procedures (See EPA Order 2130.1)

1. Requests to submit material for translation.

   a. Requests to translate copy in hand

      1) Person making request should complete "Translation Services Requisition," EPA Form 1350-1.

      2) Send both the document and the request form to:

         Translation Services Section
         U.S. Environmental Protection Agency
         Office of Administration
         Research Triangle Park NC 27711

   b. Requests to translate material not in hand

      1) Person making request should fill out form in as much detail as possible. This should include author, complete foreign title, and source. Form is then sent to the Translation Services Section.

   c. Translation Services Section will send hard copies to be retained by requestor.

2. Requests for copies of material already translated either by EPA or by other sources.

   a. These requests emanate from monthly bulletins of the Translation Services Section.

      1) These bulletins may be obtained free on request. Requests should include full address and, if made for an individual, the title of the individual.

      2) Bulletins published are:

         a) Monthly Translations Lists and Current Contents which includes all translations done by the service during a given month.

b) Current Awareness of Translations is the monthly compilation of translations done by other sources on subjects of interest to EPA researchers.

b. Libraries may subscribe to Category 68 of the NTIS SRIM Service and thus obtain a fiche copy of all EPA translations.

c. To make requests:

1) Send a memo listing the translation numbers of the items desired to the local EPA library.

2) If local library does not subscribe to Category 68, requests should be sent directly to the Translation Services Section.

3) The Translation Services Section, will send a microfiche copy to be retained by requestor. If desired, a hard copy will be sent on a loan basis.

FOREIGN LITERATURE EXCHANGE PROGRAM

Policy

1. The International Documents Exchange Program, administered through the Office of International Activities, is designed to acquire as much environmental material from other nations as possible through exchange agreements. This permits awareness of other countries' experiences in formulating standards and regulatory controls and provides an opportunity to share information on management and control systems.

2. The Office of International Activities maintains exchange agreements with the environmental agencies of foreign countries. This is often done through agreements between the Administrator of EPA, or his representative, and his counterparts in other countries.

3. Under this program EPA is assembling at the Headquarters Library a reference collection of foreign documents relative to environmental programs and regulatory systems in other countries.

Procedure

1. Items Received By EPA

   a. Documents will be obtained automatically or upon specific request:

      - from Embassies
      - from foreign organizations
      - from the Library of Congress, Foreign Research Division
      - Any P.L. 480 Program

   b. Documents will be received or routed through the Office of International Activities for review and selection procedures.

   c. Documents selected for inclusion in the Summaries of Foreign Government Environmental Reports will

be sent directly to the Library of Congress, Foreign Research Division, for abstracting and preparation of entries for the Summaries.

d. All these documents will be sent to the EPA Headquarters Library for inclusion in its foreign literature section and listing in the new material received notices.

e. The Summaries of Foreign Government Environmental Reports will be distributed widely throughout EPA and, through the EPA Library System liaisons, to State and local government and private activities and universities.

f. Full translation of any of the items included will be provided as necessary.

g. Full text copies will be available for loan from the EPA Headquarters Library or through inter-library loan from the Library of Congress in the original language unless a specific request for a translation has been received.

h. Entries on all foreign exchange documents will be included in the master file as appropriate. This file will be used to publish specialized indexes and bibliographies and for retrieval purposes.

2. Items Furnished By EPA

a. The Library Systems Branch will provide copies of its Book Catalog, Journal Holdings Report and the EPA Reports Bibliography and accompanying micro-fiche to the Office of International Activities for transmittal through the Embassies to counter-part agencies in foreign countries.

b. The Library Systems Branch will provide its list of new materials to the Office of International Activities for review and selection and transmittal to the counterpart foreign environmental agencies through their Embassies.

c. The Office of International Activities, the Embassies and the foreign organizations will select desired items for transfer in either hard copy or microfiche.

d. Items selected will be distributed according to the international mailing list either from:

- Central EPA distribution point in North Carolina
- National Technical Information Service
- Office of Public Affairs
- Office of Legislation
- Program Office
- EPA Libraries
- EPA Technology Transfer Programs

e. Copy of transmittal letter or list of items furnished will be provided to the Office of International Activities only in cases where the request (to provide selected items) to the individual library did not come through that office.

f. Specific request received by the Office of International Activities from foreign countries for EPA-generated items or general and/or specific environmental information will be provided to the appropriate EPA Library for action.

g. When an EPA Library receives a request direct from a foreign organization, a copy of the request letter and the document to be furnished must be sent through the Office of International Activities for coordination purposes.

BUDGETS

Policy

1. Budgets for the following fiscal year should be drawn up in October of the previous year and submitted through channels to the office preparing the appropriations request.

2. Budgets should reflect one fiscal year requirements for collection, contracts and services, travel, supplies and equipment, printing.

3. Budgets should be presented at each library location; at Headquarters it should be presented to the Chief, Library Systems Branch for incorporation into overall Headquarters budget.

Procedure

1. Each library should maintain a control record for expenditures against the allocated amount (assumed to be amount requested unless notified otherwise). Control record should show total allocated, amounts obligated, amounts remaining in each category. Quarterly summary reports should be presented to the Chief, Library Systems Branch, at Headquarters; to supervisor of library in field locations. (See section on budgets.)

2. Contracts and services should include NTIS and GPO deposit accounts, interagency agreements, contracts for services, for materials, or programs. Supplies and equipment reflect only those supplies unique to library activities, and not available from the GSA stores. Travel shall include both administrative and professional development requirements. Training monies are carried in the administrative budget and do not need to be covered in the library budget at the present time.

TRAVEL

Policy

Travel covers both administrative travel and travel to professional activities.

Attendance at one professional library or information sciences meeting a year, is recommended for each professional librarian. Experiences gained at these meetings should be shared with other EPA Librarians through the monthly newsletters or at annual meetings.

At least one librarian from each location should attend the annual EPA librarians' meetings. Additional library staff members attend at the discretion of the Head Librarian.

Administrative travel is carried out for purposes of evaluating systems, working out details on use of systems, review of operations for applications to EPA system, liaison with state and local governments, universities and research sectors or international programs.

Travel to local professional meetings and other library/information related activities is at the discretion of the librarian.

Procedures

Travel requests are handled in accordance with the EPA Travel Manual.

CONTRACTS

Policy

Contract requirements will be spelled out in accordance with the contracts manual (See Exhibit D). The need must be defined, the importance to the Agency determined and incorporated in the request, and the estimated cost to the Agency indicated.

Procedure

1. Define program need. Determine feasibility of doing the program with in-house resources or contracting. When decision is made to contract, define contract requirements, including tasks to be performed, approximate cost involved, time frame being considered, personnel and organizational requirements.

2. A procurement request is prepared for the contract, recommending contractors capable of carrying out the task, if known, and criteria by which the proposals will be reviewed.

3. Forward procurement request through Director, Management and Organization Division, for approval of program and expenditure of funds; through financial office for obligation of funds to be expended; through Director, Management Information and Data Systems Division (if data processing application), to Contracts Management Office.

4. Receive proposals from Contracts Management Division and convene review committee to determine optimum contractor per criteria established earlier. Review proposals for best effort to satisfy requirements, prepare memorandum for Contracts Management Division transmitting results of review with total percentage score for each bidder and a recommendation for award to the most qualified, competent bidder.

5. Schedule for monitoring the contract must be established immediately following award of the contract. Accounting records for the contract are established. Project monitor is designated for the entire contract or portions of it, as appropriate.

STATE AND LOCAL LIAISON

Policy

1. EPA is responsible for providing environmental information to state and local agencies.

2. EPA's role is primarily that of a channel of information, providing for a coordinated effort in the exchange and dissemination of information.

3. Services to be provided by EPA Regional Library

   a. Consultation to libraries setting up environmental collections

   b. Reference services and use of reading room for materials not otherwise available to users of state and local libraries

   c. Order literature searches from EPA information centers, such as the Solid Waste Information Retrieval System

   d. Interlibrary loan

   e. Participate in cooperative acquisition and storage programs

   f. Provide cataloging information (not available elsewhere) for environmental literature

Note: It is important for the EPA librarian to coordinate activities with other EPA staff members in the Region. In particular, find out what the Public Affairs Office is doing that might be relevant to the interlibrary cooperation program.

STATE AND LOCAL LIAISON

Procedure

1. Methods to Be Used by EPA Librarians

   a. Compile and maintain a listing of libraries in the region that would be able to use and provide environmental information

      1) state libraries

      2) other governmental libraries

      3) private organizations, universities

      EPA listing of non-federal environmental libraries will be the starting point for this compilation

   b. Contact these libraries

      1) by telephone and mail

      2) when possible, visit; take packet of EPA publications and prepare a short presentation; explain how to get on various mailing lists

      3) keep record of particular interests of each library; develop mailing list to send them new items of interest

      4) hold briefings when practical

   c. Set up Regional Environmental Information Users' Group

      1) formal or informal

      2) try to work through existing organizations

   d. Exchange holdings lists

2. Types of Information to Be Channeled

a. From EPA libraries to state and local

1) information on EPA publications; publications patterns, series, bibliographic data, availability

2) structure and activities of EPA: Headquarters, laboratories, regions

3) information on access to other environmental literature: bibliographies, commercial services, output of other government agencies, general literature

4) foreign environmental information

5) information on EPA's Library System programs

b. From state and local libraries to EPA library

1) state and local publications: publication patterns, specific listings, exchange procedures

2) data on the region: statistics, other materials

3) arrange for access to specialized collections

PUBLICATIONS

Policy

1. The following may be published by individual libraries:

   a. Bibliographies

   b. Current awareness lists

   c. User's guides

   d. Manuals

   e. Directories

2. The library is responsible for preparing the master copy for reproduction. This includes text, covers, drawings, charts, and diagrams. The graphics department can aid in this if necessary.

3. Publications must be cleared in accordance with EPA Order 2200.2, "Information Clearance Procedures."

Procedure

1. "Requisition for Local Duplicating Service", EPA Form 1750-3, should be completed by the librarian.

2. This form and the master copy are given to the printing officer for publication.

3. The printing officer determines whether it will be printed in-house or by GPO and its contractors, basing his decision on the number of copies and pages.

PUBLICATIONS OF THE EPA LIBRARY SYSTEMS BRANCH

EPA-LIB-73-01 July 1973	EPA Reports Bibliography - Listing of EPA Reports Available from the National Technical Information Service as of April 1, 1973. PB 223 693/3 PC $10.00/ MF $2.25
EPA-LIB-73-04 July 1973	State and Local Environmental Libraries - a Directory. PB 225 556/0 PC $3.00/ MF $2.25
EPA-LIB-73-05 June 1973	A Selected List of Translated Non-English Material of Potential Interest to the U.S. Environmental Protection Agency. PB 225 612/1 PC $2.75/MF $2.25
EPA-LIB-74-01 February 1974	A Description of the Environmental Protection Agency In-House Library Systems. PB 231 335 PC $4.50/MF $2.25
EPA-LIB-74-03 August 1974	EPA Reports Bibliography, Supplement - a Listing of EPA Reports Entered into the National Technical Information Service between April 1, 1973, and December 31, 1973. PB 234 215 PC $10.00/MF $2.25
EPA-LIB-74-04 December 1974	Guide to EPA Libraries
EPA-LIB-74-05 October 1974	User's Guide to the Environmental Protection Agency Library System, including "Special Collections of United States Environmental Protection Agency Libraries"
EPA-LIB-74-06 December 1974	EPA Book Catalog Retrospective up to August 1974
EPA-LIB-75-01 January 1975	EPA Book Catalog. August 1973 - December 1974
EPA-LIB-75-02	Journal Holdings Report - 1975
	Focus: Library Services - Headquarters Library

INVENTORY AND PROPERTY ACCOUNTABILITY

Policy

1. The EPA Book Catalog and Journal Holdings Report and Accessions Lists serve as the inventory record for EPA libraries.

2. Libraries are accountable for materials in excess of $5000, as detailed in the EPA Property Management Regulations.

3. Librarians are asked to estimate the value of their collections on an annual basis in accordance with the EPA Property Management Regulations, part 115-27 (see Figure 1 attached). Unbound journals are not considered accountable property at present. Estimates of collection values are made by multiplying the number of books in the collection by the average current price of books; by multiplying journal holdings by average current price of journals. Reports are to be submitted to:

   Mr. Oscar K. Rodgers
   Reports and Analysis Branch
   Waterside Mall, Room 3618, PM-226
   401 M Street, S.W.
   Washington DC 20460

EPA Property Management Regulations

Part 115-27, Inventory Management

§ 115-27.5011-4 Inventory management of library books.

Records will be maintained for any organized collection of books, bound periodicals, manuscripts, roll film and microfiche etc., at an EPA activity when the total value of the collection is valued at $5,000 or more.

(a) Only total quantities and total values need be entered on the records. Titles and descriptions are not required for property management and financial accounting purposes.

(b) The property accountable records will be maintained under the jurisdiction of the property accountable officers in the absence of an existing cataloging/accounting system maintained by a librarian.

(c) Where a library cataloging/accounting system exists, the librarian will provide the basic information required by this section directly to the financial accounting point.

(d) The quantity of library materials outlined above may be ascertained by actual count or by estimating. Estimates may be determined by counting the number of uniform sized books on several shelves and multiplying by the number of like-sized shelves.

(e) The total estimated value may be determined by applying the average cost per volume to the total quantity of volumes in the library. Annual report will be rendered at the end of each fiscal year.

(f) Books, periodicals, manuscripts, etc., maintained by individuals, for desk-side availability are considered administrative references and will not be included in library records.

STATISTICS

Policy

Only meaningful statistics will be collected and these on a random sampling basis. The only exception to this policy will be statistics required as a part of the on-going government-wide productivity program.

A Task Force of EPA librarians is currently working on guidelines and forms for use in collecting statistics for various purposes and on various activities. Definitions of measurable activities are to be a part of the Task Force's report.

This section of the manual will be revised as soon as the work of the Task Force is complete.

TRAINING

1. Staff. Training is essential if we are to be able to improve our ability to cope with new demands and situations, and improve our capabilities to provide more services with the same or slightly increased staff.

   The Library Systems Branch is attempting to provide at least one training program per year. Each library encourages the participation of a staff member in the courses. In addition, each librarian encourages other staff members to participate in training programs applicable to his or her situation.

   Training has been, and will continue to be, provided in the areas of data processing, microform technology, contracting, literature searching, profile development, budgeting, and marketing of library services.

2. User. The Library Systems Branch has sponsored the development of outlines for user education programs aimed at various external user groups. These outlines are being further developed, and syllabi and course materials to be used as models for selected user groups should be available by the end of 1975. Several tests of the programs will be conducted in one or more of the Regions or laboratories as time and resources permit. These programs, when fully tested, will be available for use by any Region, laboratory, or other EPA office, or outside groups and organizations.

   Internal user training is the responsibility of each librarian in EPA. These programs vary but take one of the following forms:

   a. overall orientation on how to use the library.

   b. briefings on specific programs and services.

   c. in-depth training programs on topics such as literature searching, profile development.

   d. "how-to-use" specific tools and services.

PUBLIC RELATIONS ACTIVITIES

The library is responsible for publicizing its availability to its users in order to encourage use of its collection and services. Only by providing satisfactory service to the users is the library likely to get the support necessary to continue its activities.

The library may use any or all of the following public relations techniques to make users aware of its programs:

a. issuance of a user's guide to the library and its services. See Exhibit E for a recommended outline of this publication.

b. tours of the library

c. individual or group briefings on the library

d. video tape preparation and distribution.

e. exhibits in prominent locations

f. exhibits for loan

g. films, slides, posters

h. speeches at meetings

i. briefings for management

j. newsletter or flyers to users

k. current awareness services (see SDI under Reference Services)

l. announcements on bulletin boards.

INTERAGENCY AGREEMENTS

The EPA Library System uses interagency agreements to accomplish programs where resources are not available within the System or where the program could better be carried out by another Government Agency.

An interagency agreement is a mutual understanding, arrangement or stipulation between or among two or more Federal Agencies which pertains to a commitment of resources or delineation of responsibility. It provides for the procurement of service or support on a one-time or continuing basis, and is approved and signed by authorized representatives of each participating agency.

Interagency agreements are authorized under the Economy Act of 1932, Title VI (see Figure 2), which provides that "any executive department or independent establishment of the Government....may place orders with any other such department....or office for materials, supplies, equipment, work or services...". It further provides that payment for services may be made "in advance or upon the furnishing or performance thereof." Orders are permitted where work cannot be more conveniently or more cheaply performed by private agencies. Funds advanced to special working funds "remain available until expended" and are not subject to year-end restraints.

Interagency Agreements, in accordance with EPA Order 1610.1, must include a statement regarding the nature of the agreement, the need for it, services or duties to be performed, a rationale for the approach being taken, time period covered by the agreement, project officer or person to be contacted on matters concerning the agreement, statement of authority under which the agreement is drawn (the Economy Act of 1932, as amended and/or existing laws and regulations relating to the agreement's program area), data needed for preparation of financial provisions, as in a transfer of funds, including name and address of the agency with which the agreement is being entered into, the fees or amount of reimbursement, appropriation and account numbers, billing instructions with respect to the frequency of payment, address of office to be billed and billing method.

INTERAGENCY AGREEMENTS

No one library is likely to be able to have on its staff personnel with capabilities in all the languages required during the course of a year's operations. EPA uses interagency agreements with the Department of State for non-technical translations, and the Federal Research Division of the Library of Congress for English language abstracting of materials received under the Agency's various inter-governmental foreign document exchange programs, to supplement its contracts with private translating concerns. An interagency agreement with the National Technical Information Services (NTIS) was used to provide an EPA Reports Bibliography and Supplement to include all EPA and its former agencies' reports through December 1973. A continuing agreement provides for up-dates to this Bibliography, receipt by EPA of computer tapes to cover these reports and a number of other on-going projects. Refer to Appendix F for copies of interagency agreements.

Interagency agreements with the National Library of Medicine provide all EPA staff with Medline and Toxline searches through the EPA libraries.

An interagency agreement between EPA and the Department of Interior provides support for centers of competence feeding information into the Water Resources Scientific Information Center.

A recent interagency agreement with the Environmental Data Service, NOAA, provides for joint training programs, bibliography preparation and other sharing of library resources.

Figure 2

EXCERPT FROM ECONOMY ACT OF 1932

TITLE VI—INTERDEPARTMENTAL WORK

Interdepartmental work.

Provision for purchasing stores, etc., by bureau or department from another, modified.

Vol. 41, p. 613, U. S. C., p. 1021

SEC. 601. Section 7 of the Act entitled "An Act making appropriations for fortifications and other works of defense, for the armament thereof, and for the procurement of heavy ordnance for trial and service, for the fiscal year ending June 30, 1921, and for other purposes", approved May 21, 1920 [U. S. C., title 31, sec. 686], is amended to read as follows:

"SEC. 7. (a) Any executive department or independent establishment of the Government, or any bureau or office thereof, if funds are available therefor and if it is determined by the head of such executive department, establishment, bureau, or office to be in the interest of the Government so to do, may place orders with any other such department, establishment, bureau, or office for materials, supplies, equipment, work, or services, of any kind that such requisitioned Federal agency may be in a position to supply or equipped to render, and shall pay promptly by check to such Federal agency as may be requisitioned, upon its written request, either in advance or upon the furnishing or performance thereof, all or part of the estimated or actual cost thereof as determined by such department, establishment, bureau, or office as may be requisitioned; but proper adjustments on the basis of the actual cost of the materials, supplies, or equipment furnished, or work or services performed, paid for in advance, shall be made as may be agreed upon by the departments, establishments, bureaus, or offices concerned: *Provided, however,* That if such work or services can be as conveniently or more cheaply performed by private agencies such work shall be let by competitive bids to such private agencies. Bills rendered, or requests for advance payments made, pursuant to any such order, shall not be subject to audit or certification in advance of payment.

Orders may be so placed if in public interest.

Payment therefor.

Adjustments.

Proviso.

Work by private agencies.

"(b) Amounts paid as provided in subsection (a) shall be credited, (1) in the case of advance payments, to special working funds, or (2) in the case of payments other than advance payments, to the appropriations or funds against which charges have been made pursuant to any such order, except as hereinafter provided. The Secretary of the Treasury shall establish such special working funds as may be necessary to carry out the provisions of this subsection. Such amounts paid shall be available for expenditure in furnishing the materials, supplies, or equipment, or in performing the work or services, or for the objects specified in such appropriations or funds. Where materials, supplies, or equipment are furnished from stocks on hand, the amounts received in payment therefor shall be credited to appropriations or funds, as may be authorized by other law, or, if not so authorized, so as to be available to replace the materials, supplies, or equipment, except that where the head of any such department, establishment, bureau, or office determines that such replacement is not necessary the amounts paid shall be covered into the Treasury as miscellaneous receipts.

Credit of receipts.

Advance payments.

Other payments

Special working funds established.

Use of.

Supplies, etc., furnished from stocks on hand.

Disposition of receipts.

"(c) Orders placed as provided in subsection (a) shall be considered as obligations upon appropriations in the same manner as orders or contracts placed with private contractors. Advance payments credited to a special working fund shall remain available until expended."

Orders considered obligations

Advance payments.

SEC. 602. (a) Notwithstanding the provisions of this title, such section 7, as in force prior to the date of the enactment of this Act, shall remain in force with respect to the disposition of funds transferred thereunder prior to such date.

Disposition of funds transferred prior to date.

(b) Nothing in this title shall be construed to authorize any Government department or independent establishment, or any bureau or office thereof, to place any orders for material, supplies, equipment, work, or services to be furnished or performed by convict labor, except as otherwise provided by existing law.

Convict labor, materials, etc.

(c) The provisions of this title are in addition to and not in substitution for the provisions of any other law relating to working funds.

Foregoing provisions considered additions to existing laws.

EXHIBITS

INSTRUCTIONS FOR ENTERING BOOK HOLDINGS INTO ACCESSIONS FILE

The Technical Processing Section of the EPA Library in Cincinnati is responsible for cataloging all books for the EPA Library System. New acquisitions are reported to Cincinnati by participating libraries on EPA Form 2100-1 (see Figures 1 and 2), commonly referred to as a coding sheet. Basic instructions appear on the reverse side of form. More specifically:

1. Initial articles are dropped from titles. All articles are retained elsewhere in the title.

2. No abbreviations are to be used in the title (although some acronyms, like CRC, are acceptable).

3. No punctuation marks are to appear in the title.

4. In the case of joint authorship, use the symbol '+' for 'and.'

5. Remember to complete the 30 record when there is joint authorship or editorship. In the latter case, don't forget to add 'ED.'

6. Subject headings use the ampersand (&) to signify 'and.'

7. Assign subjects, if possible.

8. Volumes and editions should be inserted when applicable; when both are required show volume numbers first, followed by edition.

9. Consecutive editions, volumes, and/or dates of publication are separated by a dash, e.g., ED 1-3, 1970-73.

10. When not consecutive, the puncutation used is a comma, e.g., ED 1,3, 1960,75.

11. If necessary, use a combination of both, e.g., V 1,4-5, 1969,72-73.

12. When applicable, include the unique call number.

EXHIBIT A

13. If full cataloging is not available and an L.C. card number appears in the book, include the card number on the coding sheet in the extreme right portion of the 30 record.

14. Always include the Library Code Number, which requires three characters.

Serials or continuations may be added to the Accessions File as open or closed entries. When the title will continue to be received, the entry should be as follows: 1973- (space). The dash indicates that this is an open entry. When the title is no longer received, the entry becomes 1973 (without the dash) if only one year was received, or 1973-74, closing the entry and indicating the year it was discontinued.

When the serial or continuation has a date as part of the title or covers information for a given year and is published in a different year, the publication date should appear first, followed by a parenthetical entry for the data year(s) concerned. Examples:

	1968 (1967)	(only one year received)
V 1-5	1969-73 (1968-72)	(start and stop years)
V 1-	1969- (1968-)	(open entry)

Remember that the first date is the year of publication and the date in parenthesis is the year of information.

Once a series is complete, or is no longer received by a library, a coding sheet should be submitted to Cincinnati indicating that the entry has been closed (showing start and stop years under date of publication, rather than an open entry).

Because of the various sources of cataloging data, the following procedure is suggested for submitting EPA Form 2100-1:

1. Check the new title against the current, monthly accessions lists. If the title is a duplicate against an item so listed, show 'DUPLICATE' in the Book ID No. block, indicate title, call number and Library Code.

2. If the title does not appear in the current accessions file, check it against the August 1973-December 1974

cumulated accessions. This is available in microfiche and in hard copy. If listed, transfer all of the cataloging data to the coding sheet. A complete entry is required for computer input. If not provided, the Cincinnati staff must search it out. You can expedite the cataloging process by being thorough.

3. If the search proves negative, check the title against the microfiche or hard copy of the EPA Book Catalog as of July, 1973 (referred to as the retrospective file). If the title is listed, copy all of the cataloging data onto the coding sheet to expedite computer input.

4. Note at the top of each coding sheet the source of the data entered, i.e., monthly accessions, cumulated accessions, retrospective file, CIP (Cataloging in Publication), BPR (American Book Publishing Record), or Interlibrary Loan (in case only an LC call number is shown).

5. For material published before 1965, not included in any of the named sources, presume that original cataloging may be necessary and send with the coding sheet a copy of the title page, verso, foreword or introduction, table of contents.

Completed coding sheets are to be mailed to:

Technical Processing Section
Central Technical Library
U.S. Environmental Protection Agency
Cincinnati OH 45245

Once a month Cincinnati generates a book catalog of additions to the Accessions File for the previous month, with separate author and subject indexes, and an individual current awareness list for each participating library. Each of these reports is cumulated and published quarterly. The final cumulation of the last quarter represents the EPA Book Catalog for that year.

Figure 1

BOOK ID NO.	TITLE		
	NERVE MEMBRANES		
00	LC NO. QP363.J6	AUTHOR AND CO-AUTHOR (Editor) Johnston, Patricia V. + Roots, B. I.	PUBLISHER Pergamon
01	SYMPOSIUM ETC. ENTRY (If necessary) International Series of Monographs in Pure and Applied Biology, V. 36		
	SUBJECT HEADINGS		
11	1. nerve tissue	2 membranes biology	3.
12	4.	5.	6.
13	7.	8.	9.
20	LIB CODE	EDITION, VOLUME (If necessary) ED 2	PUBLICATION DATE 1972
30	CO-AUTHOR (Co-editor) Roots, Betty I		

EPA Form 2100-1 (6-73)

UPDATE LIBRARY BOOK HOLDING
(See instructions on the reverse)

Figure 2

INSTRUCTIONS

The form may be used to record either new acquisitions or to register a duplicate of another library's holdings Note that the numbers indicated on the form correspond to the computer fields of the book holdings system.

NEW ACQUISITIONS

	BK ID NO	Leave this space blank
	TITLE	Enter complete title, excluding first words of "the", "a" or "an" (118 characters available).
00	LC NO	Enter call number
	AUTHOR etc	Enter personal authors by surname, followed by first name and one initial Enter co-author or co-editor simply by surname and initials MUST ALSO COMPLETE LINE 30 For editors, include "ED" or "EDS"
	PUBLISHER	There are 20 characters available for publisher's name
01	SYMPOSIUM	Identify symposium, sponsorship by group other than author or publisher, or other pertinent identifying information
11	SUBJECT	List subject headings to be included
12	"	
13	"	
20	LIB CODE	Insert numerical code for your library
	EDITION	Specify edition, revision, volume or parts numbers (Ex: ED 2, V 1, 2).
	PUBL DATE	Enter year of publication or, if not available, year of copywrite (without "C")
30	CO-AUTHOR	List full name of co-author or co-editor. surname, forename, initials Include "ED" if applicable

DUPLICATES OF TITLES ALREADY IN THE SYSTEM

	BK ID NO	This is the number appearing in the last column on the right in the computer run Insert on the form
	TITLE	Insert "Duplicate"
20	LIB CODE	Complete all three items on this line

No other information is required

EPA Form 2100-1 (6-73) (Reverse)

BOOK ID NO.	TITLE		
00	LC NO	AUTHOR AND CO-AUTHOR *(Editor)*	PUBLISHER
01	SYMPOSIUM, ETC, ENTRY *(If necessary)*		
	SUBJECT HEADINGS		
11	1.	2.	3.
12	4.	5.	6.
13	7.	8	9.
20	LIB CODE	EDITION, VOLUME *(If necessary)*	PUBLICATION DATE
30	CO-AUTHOR *(Co-editor)*		

EPA Form 2100-1 (6-73)

UPDATE LIBRARY BOOK HOLDINGS

(See instructions on the reverse)

INSTRUCTIONS

The form may be used to record either new acquisitions or to register a duplicate of another library's holdings Note that the numbers indicated on the form correspond to the computer fields of the book holdings system

NEW ACQUISITIONS

	BK ID NO	Leave this space blank
	TITLE	Enter complete title, excluding first words of "the", "a" or "an" (118 characters available).
00	LC NO	Enter call number
	AUTHOR etc	Enter personal authors by surname, followed by first name and one initial Enter co-author or co-editor simply by surname and initials. MUST ALSO COMPLETE LINE 30 For editors, include "ED" or "EDS"
	PUBLISHER	There are 20 characters available for publisher's name
01	SYMPOSIUM	Identify symposium, sponsorship by group other than author or publisher, or other pertinent identifying information
1	SUBJECT	List subject headings to be included
12	"	
13	"	
20	LIB CODE	Insert numerical code for your library
	EDITION	Specify edition, revision, volume or parts numbers (Ex ED 2, V 1, 2).
	PUBL DATE	Enter year of publication or, if not available, year of copywrite (without "C").
30	CO-AUTHOR	List full name of co-author or co-editor, surname, forename, initials Include "ED" if applicable

DUPLICATES OF TITLES ALREADY IN THE SYSTEM

	BK ID NO	This is the number appearing in the last column on the right in the computer run Insert on the form
	TITLE	Insert "Duplicate"
20	LIB CODE	Complete all three items on this line

No other information is required

EPA Form 2100-1 (6-73) (Reverse)

Document Control System

What is to be included in the Document Control System File?

1. All items not in NTIS (and only these) or EPA Reports File
2. State and Local government reports
3. University Reports
4. Thesis
5. Conference reports
6. Company reports
7. Association reports
8. GPO printed reports not included in NTIS
9. Other Government Agency reports not included in NTIS

Note: No EPA reports are to be included in the Document Control System File.

How to select for inclusion in the Document Control System File.

1. Review collections on the shelf and sort out all reprints (to go in the Reprint files to be established later)
2. Sort out all reports which have PB numbers
3. Send a list of all PB numbers covering non-EPA reports to Sarah Thomas so that a tape on these PB numbers can be procured from NTIS and converted to our format. If you are assigning an ID number of your own to these reports, your input to the Document Control System should show only your ID number and the PB number in the appropriate area of the file. This will serve as a cross reference to the converted EPA reports file from NTIS, and still provide the necessary indexes to your collection.
4. All remaining reports should be included in the Document Control System File.

How is the file to be used?

1. The Document Control System File will be built at each individual library rather than on a centralized basis, primarily due to the size of the collection involved.
2. The File will be used to generate locally required indexes and reports. Thus it is essential that a policy be established which allows additional records over the central requirements.
3. The File will be merged with that of all other libraries in the system to create a catalog of environmental reports held by the EPA Library System. This is essential if we are to participate in international programs. In addition, it will give each of the libraries in the system access to the documents contained in the other libraries' collections.
4. The File will be used in conjunction with the EPA book catalog, EPA reports, international exchange, reprints and other files to produce specialized listings, bibliographies, and searches and to provided EPA and U.S. input to the International Referral Service.

EXHIBIT B

5. As a merged file it will be useful in our State and Local Liaison activities and those with universities. All of these files together will provide a very comprehensive file of environmental information.

Recommended Standards for the Document Control System File.

1. All files must be constructed in the format specified by the documentation and the input forms. Any additional local applications must be included as added records, and cannot affect changes on the basic set of records.

2. All ID numbers must include the Library Code as the first part (normally three digits) of the number.

3. A record should be presented as it is with the book system, following the same instructions:

   Use no punctuation in Title - Author - Subject Headings
   Use no article at beginning of Title - Subject Headings
   Abbreviations permitted:
   a. None in title except at the end of the field if the number of characters is larger than the element length.
   b. And in the Author area should be shown as a plus sign +.
   c. US and Gtbrit are permitted abbreviations in the author field, both corporate and personal.
   d. And in the Subject Heading field should appear as &.
   e. US, Gtbrit, addr, cong, bibl are permitted abbreviations in the subject heading fields.
   If the number of characters in the data is larger than any element length, abbreviate only at the end of the field, so that the sort will not be affected.

4. State codes should be entered using the two digit standard postal system code, as shown in the attached listing.

5. Corporate sources should be presented in a consistant manner in each of the individual libraries. The presentation by Bernadine Hoduski which is attached, represents a very good approach for Regional librarians. The laboratory librarians may be more interested in an approach which takes the name of the organization as it is shown on the document, plus the lowest identifiable element of the organizational string. For example, the library systems branch would appear as:

   U. S. Environmental Protection Agency. Library Systems Branch, Washington, D.C.

rather than:

U. S. Environmental Protection Agency. Assistant Administrator for Planning and Management, Management and Organization Division, Library SystemsBranch, Washington, D. C.

6. Place of publication is to be included as part of the Corporate Source.

7. Corporate Source One should be the originating organization, i.e., a Contractor.

8. Corporate Source Two should be the sponsoring organization, where there is one.

9. Date is the date of the publication, using month and year when known.

10. Conference name, date and place where it was held should appear in the title of the publication field.

11. City and State fields are to be used as subject entries. Other geographic designations are to be included as subject entries.

12. Orig. Report Number is for the number assigned by the Corporate Source One.

13. Sponsor's report number is for the number assigned by the Corporate Source Two, where there is one.

14. The PB number should be included when it is known. If it is not known, the field should be left blank for updating if and when a PB number becomes available.

15. If the filing location for a report is different than the ID number assigned, an asterisk should become a part of the field to show the user that the item can be located by that element. The asterisk should always follow the other information in that field. In other words, when you are filing by PB number the entry would appear as PB 228134 *. (separate asterisk from the information by a space).

16. Catagory Code (Subject) is to be represented by a two digit code similar to, or the same as, the attached listing. Any additional codes assigned for local applications and interests should be registered with the central system so that other libraries can use the same code and so that different codes will not receive the same numbers.

17. The Document Control System File will contain no EPA reports. It will be limited to all items not in NTIS, state and local government, university, company and association reports and those from conferences and symposia, and thesis and other government (non-EPA) organizations reports not included in NTIS. Journal reprints are to be excluded.

Document Control System

* ID - Number consists of 3 digit Library identifier and
  (23) the shelf number

* Title Line One - No punction, no abbreviations first word
  (90) must not be an article, must end with a full word

* Title Line Two - No punctuation, no abbreviation must end
  (85) with full word

* Subject Class - Consist of one to three classification
  (18) codes separated by a single space for example
  (table A)

* Author One Author Three - No punctuation, only permit
  abbreviations - (+=And), (US) (Gtbrit)
  Use last name and first two initials
  separated by a space

* Date - Date of Publication - in the form
  mmyy - with leading zero, if no date enter all
  zeros, if month is not known enter zero, for
  example 0075

Corporate Source --

Corporate source should be entered under lowest distinctive name. All US and state corporate sources should be preceded by either US or the appropriate two letter state abbreviation i.e., CA Water Resources Control Board, US Geological Survey. The distinctive element in the name should come first, i.e., US Mines Bureau DC, US Census Bureau DC, Ca Water Resources Dept Sacramento. A state university should be entered under the name of the state followed by location, e.e., CA Univ Berkeley Engineering Dept but Univ of Southern California Los Angeles (private institution). All corporate entries should include the city where the corporate body is located if known. If it is Washington, D.C. use DC. Bernadine is providing us with a list of government corporate sources to use as a guideline.

Corporate Source One -

Should be originating Organization no punctuation

Corporate Source Two -

Should be sponsoring ORG no punctuation

Additional Uses:

Corporate sources should be presented in a consistant manner in each of the individual libraries. The presentation by Bernadine Hoduski which is attached Table B, represents a very good approach for Regional librarians. The laboratory librarians may be more interested in an approach which takes the nae of the organization as if is shown on the document, plus the lowest identifiable element of the organizational string. For example, the library systems branch would appear as:

US Environmental Protection Agency. Library Systems Branch Washington DC

rather than:

US Environmental Protection Agency. Assistant Administrator for Planning and Management, Management and Organization Division, Library Systems Branch Washington, DC

FCRP
ASSN
UNIV
INC
LTD
NATL

* Subject (a) One Six - No Punctuation
and = & Two Digit Alphabetic FIPS State Code

Only (b) Abbreviations US, Gtbrit, Addr, Cong, Bibl, Div

(c) City, State Entries are to be used when Geographical location is significant use two digit State

PB Number - if known enter the 12 digit NTIS number for the document, otherwise leave blank

Originator RPT No - the number assigned by corporate source
One - which is the originating organization.

Two which is the sponsoring org if one

The sponsoring organization exists

Series - If the Report is part of a series - non Critical Field Conference Name date place where it was held should be entered - if not in the Title field.

SUBJECT CATEGORY CODES*

01 Air Pollution and Control

02 Noise Pollution and Control

03 Solid Wastes Pollution and Control

04 Water Pollution and Control

05 Pesticides Pollution and Control

06 Radiation Pollution and Control

07 Environmental Health and Safety

08 Environmental Impact Statements

09 Area Reports

10 Environmental Policy*

11 Laboratory Technology

12 Energy

13 Transportation

14 Land Use

15 International Affairs

16 Oil Pollution, Control 1

17 Hazardous Materials

18 Toxic Substances

* Categories 01 through 08 are the subcategories of the NTIS revised category 68 (Environmental Pollution and Control). The ones following are from Jean Circiello. Please send me your comments and any additional suggestions within the next two weeks and no later than

CORPORATE AUTHOR or SOURCE (Use as many as needed)

City	State	Main agency	Sub agency
e.g. Kansas City	Missouri	Health Department	Air Pollution Program
e.g. Kansas City	Missouri	Board of Parks and Recreation	

County	State	Main agency	Sub agency
e.g. Jackson	Missouri	Health Department	Environmental Health

State	Main agency	Sub agency
e.g. Missouri	Clean Water Commission	
e.g. Iowa	Dept.of Environmental Quality	Agricultural Wastes Section

UNITED STATES	Main agency	Sub agency
e.g. U. S.	Interior	Bureau of Mines
e.g. U. S.	National Industrial Pollution Control Council	
e.g. U. S.	Missouri Basin Interagency Committee	

International Country	State	Main agency	Sub agency
Canada	Manitoba	Committee on Manitoba's Economic Future	

Multi-Government
(Commissions, interagency groups, etc.
e.g. Mo-Kan Bi-State Planning Commission

University or Colleges	College or Dept.
e.g. University of Missouri	College of Agriculture
e.g. University of Missouri	Extension Department

Codes and Abbreviations - Not Previously discussed

State Code use Two Digit designator

- Postal Office -

```
:ID NO          1/23:TITLE LINE ONE                                          25/90:
:                    :                                                             :
:                    :                                                             :
:TITLE LINE TWO                                                 1/85:SUBJECT CLASS      87/8:
:                                                                    :                       :
:                                                                    :                       :
:AUTHOR CNF       1/24:AUTHOR TWO    26/24:AUTHOR THREE 51/24:DATE76/4:CONTR NO  81/15:
:                      :                    :                   :         :                :
:                      :                    :                   :         :                :
:CORPORATE SOURCE ONE                                                                 1/99:
:                                                                                           :
:                                                                                           :
:CORPORATE SOURCE TWO                                                                 1/99:
:                                                                                           :
:                                                                                           :
:SUBJ ONE            1/30:SUBJ TWO          32/30:SUBJ THREE                        63/30:
:                         :                      :                                        :
:                         :                      :                                        :
:SUBJ FOUR           1/30:SUBJ FIVE         32/30:SUBJ SIX                          63/30:
:                         :                      :                                        :
:                         :                      :                                        :
:PB NO   1/12:ORIG RPT NO   14/20:SPONS RPT 35/20:SERIES                             56/60:
:             :                   :                :                                        :
:             :                   :                :                                        :
```

ADDRESS ABBREVIATIONS

The abbreviations listed here may be used in addresses on mail. By using the city-State abbreviations, it is possible to enter city, State and ZIP Code on the last line of address within a maximum of 22 positions: 13 positions for city, 1 space between city and State, 2 positions for State, 1 space between State and ZIP Code, and 5 positions for ZIP Code.

Planning for advanced letter mail code/sort systems contemplates inputting the ZIP Code to represent the **outgoing** sort information. If ZIP Code is not used in the address, an abbreviation of the city and State must be substituted. Since the planned abbreviation rules will not work if the city and State have **already** been abbreviated, it is essential that ZIP Code always be used with abbreviations on this list.

TWO LETTER STATE ABBREVIATIONS

Alabama	AL	Idaho	ID	Montana	MT	Rhode Island	RI
Alaska	AK	Illinois	IL	Nebraska	NE	South Carolina	SC
Arizona	AZ	Indiana	IN	Nevada	NV	South Dakota	SD
Arkansas	AR	Iowa	IA	New Hampshire	NH	Tennessee	TN
California	CA	Kansas	KS	New Jersey	NJ	Texas	TX
Canal Zone	CZ	Kentucky	KY	New Mexico	NM	Utah	UT
Colorado	CO	Louisiana	LA	New York	NY	Vermont	VT
Connecticut	CT	Maine	ME	North Carolina	NC	Virginia	VA
Delaware	DE	Maryland	MD	North Dakota	ND	Virgin Islands	VI
District of Columbia	DC	Massachusetts	MA	Ohio	OH	Washington	WA
Florida	FL	Michigan	MI	Oklahoma	OK	West Virginia	WV
Georgia	GA	Minnesota	MN	Oregon	OR	Wisconsin	WI
Guam	GU	Mississippi	MS	Pennsylvania	PA	Wyoming	WY
Hawaii	HI	Missouri	MO	Puerto Rico	PR		

ABBREVIATIONS FOR STREET DESIGNATORS AND FOR WORDS THAT APPEAR FREQUENTLY IN PLACE NAMES

Word	Abbreviation	Word	Abbreviation	Word	Abbreviation	Word	Abbreviation
Academy	ACAD	Expressway	EXPY	Lane	LN	San	SN
Agency	AGNCY	Extended	EXT	Light	LGT	Santa	SN
Airport	ARPRT	Extension	EXT	Little	LTL	Santo	SN
Alley	ALY	Fall	FL	Loaf	LF	School	SCH
Annex	ANX	Falls	FLS	Locks	LCKS	Seminary	SMNRY
Arcade	ARC	Farms	FRMS	Lodge	LDG	Shoal	SHL
Arsenal	ARSL	Ferry	FRY	Lower	LWR	Shoals	SHLS
Avenue	AVE	Field	FLD	Manor	MNR	Shode	SHD
Bayou	BYU	Fields	FLDS	Meadows	MDWS	Shore	SHR
Beach	BCH	Flats	FLT	Meeting	MTG	Shores	SHRS
Bend	BND	Ford	FRD	Memorial	MEM	Siding	SDG
Big	BG	Forest	FRST	Middle	MDL	South	S
Black	BLK	Forge	FRG	Mile	MILE	Space Flight Center	SFC
Boulevard	BLVD	Fork	FRK	Mill	ML	Spring	SPG
Bluff	BLF	Forks	FRKS	Mills	MLS	Springs	SPGS
Bottom	BTM	Fort	FT	Mines	MNS	Square	SQ
Branch	BR	Fountain	FTN	Mission	MSN	State	ST
Bridge	BRG	Freeway	FWY	Mound	MND	Station	STA
Brook	BRK	Furnace	FURN	Mount	MT	Street	ST
Burg	BG	Gardens	GDNS	Mountain	MTN	Stream	STRM
Bypass	BYP	Gateway	GTWY	National	NAT	Sulphur	SLPHR
Camp	CP	Glen	GLN	Neck	NCK	Summit	SMT
Canyon	CYN	Grand	GRND	New	NW	Switch	SWCH
Cape	CPE	Great	GR	North	N	Tannery	TNRY
Causeway	CWSY	Green	GRN	Orchard	ORCH	Tavern	TVRN
Center	CTR	Ground	GRD	Palms	PLMS	Terminal	TERM
Central	CTL	Grove	GRV	Park	PK	Terrace	TER
Church	CHR	Harbor	HBR	Parkway	PKY	Ton	TN
Churches	CHRS	Haven	HVN	Pillar	PLR	Tower	TWR
Circle	CIR	Heights	HTS	Pines	PNES	Town	TWN
City	CY	High	HI	Place	PL	Trail	TRL
Clear	CLR	Highlands	HGLDS	Plain	PLN	Trailer	TRLR
Cliffs	CLFS	Highway	HWY	Plains	PLNS	Tunnel	TUNL
Club	CLB	Hill	HL	Plaza	PLZ	Turnpike	TPKE
College	CLG	Hills	HLS	Port	PRT	Upper	UPR
Corner	COR	Hollow	HOLW	Point	PT	Union	UN
Corners	CORS	Hospital	HOSP	Prairie	PR	University	UNIV
Court	CT	Hot	H	Ranch	RNCH	Valley	VLY
Courts	CTS	House	HSE	Ranches	RNCHS	Viaduct	VIA
Cove	CV	Inlet	INLT	Rapids	RPDS	View	VW
Creek	CRK	Institute	INST	Resort	RESRT	Village	VLG
Crescent	CRES	Island	IS	Rest	RST	Ville	VL
Crossing	XING	Islands	IS	Ridge	RDG	Vista	VIS
Dale	DL	Isle	IS	River	RIV	Water	WTR
Dam	DM	Junction	JCT	Road	RD	Wells	WLS
Depot	DPO	Key	KY	Rock	RK	West	W
Divide	DIV	Knolls	KNLS	Rural	R	White	WHT
Drive	DR	Landing	LNDG	Saint	ST	Works	WKS
East	E	Lake	LK	Sainte	ST	Yards	YDS
Estates	EST	Lakes	LKS				

ABBREVIATIONS FOR POSTAL NAMES WHICH CANNOT BE ABBREVIATED TO 13 POSITIONS BY USE OF THE STANDARD ABBREVIATIONS IN THE PRECEDING LIST

ZIP Code	Post Office	Abbreviation
	ALABAMA	
35064	Fairfield Highlands	FAIRFLD HGLDS
35644	Joe Wheeler Dam	WHEELER DAM
36751	Lower Peach Tree	LWR PCH TREE
35763	Owens Cross Roads	OWENS XRDS
35775	Valhermoso Springs	VALHERMSO SPG
	ALASKA	
99721	Anaktuvuk Pass	ANAKTVUK PASS
	ARIZONA	
85222	Eleven Mile Corner	11 MILE COR
85364	Marine Corps Air Station	MARINE AIR STA
86025	Petrified Forest National Park	PET FOR NT PK
85237	Riverside Stage Stop	RIVERS STA ST
86443	Temple Bar Marina	TMPL BAR MRNA
85364	Yuma Proving Ground	YUMA PRV GRD
	ARKANSAS	
72315	Blytheville AFB	BLYTHEVL AFB
	CALIFORNIA	
92036	Agua Caliente Springs	AGUA CLNT SPG
92155	Amphibious Base	AMPHIBIUS BASE
93534	Antelope Acres	ANTELOPE ACRS
94920	Belvedere-Tiburon	BLVDR TIBURON
93207	California Hot Springs	CALIF HOT SPG
93453	California Valley	CALIF VALLEY
92624	Capistrano Beach	CAPSTRARO BCH
92007	Cardiff By The Sea	CARDIF BY SEA

LIBRARY

PROCEDURES FOR LOGGING ON
LOW SPEED TERMINAL - 2741

Turn on Low Speed Terminal

Pick up telephone

Depress talk button

Dial 8-301-496-1901 or 8-900-657-8084

When you hear a shrill beep, depress data button and hang up telephone

Hit return key on terminal (we will refer to return key as crt)

NIH will type out a message of one or two lines and then ask for:

INITIALS?	you type	mhf	crt
ACCOUNT?	you type	wbrx	crt
KEYWORD?	hit crt		
TERMINAL?	you type	h79	crt
COMMAND?	you type	set terse	crt
?	you type	set length=130	crt

IF THERE APPEARS TO BE TROUBLE IN THE SYSTEM DIAL:

8-301-496-5179 for a recorded message relating the status of the systems.

If you are using a DATEL TERMINAL the procedures for logging on are the same except for the 'depress talk button' and 'depress data button' instruction. In place of this, after you hear the shrill beep, you simply place the telephone in the cradle.

EXHIBIT C

FORMAT OF CIRCULATION FILE ON EPASO

COLUMN	DESCRIPTION
1-43	Document Title with appropriate number Book - LC number Report - number Journal - date of issue
44	Space
45-60	Name of Borrower Last name - 1st initial
61	Space
62-69	Office Phone Number of Borrower
70	Space
71-79	Building & Phone Number of Borrower
80	Space
81-86	Date Book was Borrowed
87	Space
88-93	Date Due if Inter-library
94	Space
95-110	Name of Borrower on waiting list
111	Space
112-119	Office Phone# of Borrower on Waiting List
120	SPACE
121	E for Extended File.

PROCEDURES FOR UPDATING CIRCULATION FILE

It will be necessary to search two files for record line number in order to make changes, corrections and deletes

SHORT.TERM.CIR on EPAS02
EXTENDED.CIR on FILE29

(this file number can change - make sure you use the latest from file log).

Use the printout sheets with the borrower's notation as the input for changes, corrections and deletes

When a book is returned with the borrower's name noted on a buck slip, the circulatio desk must note the return on the Alphabetical Listing of Titles. The deletes will be inputed from that listing.

Use the Sample Form as the input for all new circulations.

TO DELETE A BOOK

you type list ("title of book exactly as entered on printout") crt
system will respond with the line number and data
you type delete (line number)

Check off deletes on printout as you do them

If the system responds with VOID RANGE
you know the book must be on the 2nd file

After all corrections, changes & deletions have been made, save the file and file backup.

Clear text and call in the 2nd file using all unchecked notations on the printout as a basis. Make corrections, changes and deletes exactly as you did with the 1st file.

EXAMPLE OF A DELETE FOLLOWED BY A SAVE

```
? del 49
? save short.term.cir on epas02
"SHORT.TERM.CIR" ALREADY EXISTS ON EPAS02
TO REPLACE, REPLY "YES"
REPLACE? yes
"SHORT.TERM.CIR" REPLACED ON EPAS02
```

TO MAKE A CHANGE OR CORRECTION

you type	use (file name) on (volume name)	crt
you type	mod ('title of book exactly as entered on printout')	crt

System will respond with the line number and data

You make necessary change using Wylbur

After making the change be sure to check it off the printout sheet

If the system responds with VOID RANGE
this signifies that the book is listed on the 2nd file, so you set aside all changes that are not found on the 1st file

Be sure to save periodically while updating

ADDING NEW CIRCULATIONS TO THE FILE

you type	use SHORT.TERM.CIR on EPAS02	crt
you type	list 9 (this shows you a line format to follow)	crt
you type	list last (this shows you the last line number on the file)	cr
you type	c next line number Example:, c 3183	crt crt

system will respond with number

3183.?

collect all new data

hit ATTN to get back into command mod

renumber the file

you type num

then save file and backup

[illegible] OF [illegible] [illegible]

you type [illegible]

system responds with a job number

ask the system to locate your job
    EXAMPLE; Loc 999 (appropriate job number) crt
When it responds with
    JOB 999 IN PRINT HOLD
you type fetch 999
you type list last (this gives you the total number of lines to be printed)

Call the Computer Room

Tell operator you have x number of lines to be retrieved from NIH

Give her the job number, job name, account number and initials

Ask to have the printout delivered to the library

Signoff and note the connect time on the log sheet for the 2741

Guide for

CONTRACT PROJECT OFFICERS

ENVIRONMENTAL PROTECTION AGENCY

EXHIBIT D

Guide for CONTRACT PROJECT OFFICERS

Thomas E. Carroll
Assistant Administrator for Planning and Management

Howard M. Messner
Deputy Assistant Administrator for Administration

Edward T. Rhodes
Director, Contracts Management Division

November 1971

ENVIRONMENTAL PROTECTION AGENCY

FOREWORD

At one time, the negotiated contracting responsibility with the various organizations which now constitute EPA represented a small responsibility in relation to total budgets and expenditures. In the past five years, these organizations have greatly increased the number of programs which require outside contribution not only in the grants area but also in the negotiated contracting area. More and more profit making organizations are becoming interested in conducting research and development to solve our environmental problems. Therefore, a much more competitive atmosphere exists than did five years ago. In the years ahead, we will be directing more of our funds toward the negotiated contracts mechanism. We should take advantage of this competitive atmosphere but at the same time observe the basic principle of fairness to all prospective contractors as this manual suggests.

It is important that all EPA employees be well aware of the procedures and policies to be followed in the negotiated contracting process. This manual does not go into all of the voluminous public laws, procurement regulations and local policies pertaining to Government procurement. It is intended to be simple guidelines written for you, the prospective Project Officer. As you read this closely, I am sure that you will agree with me that the guidelines given here are based upon a common sense approach that you as a fellow taxpayer will want to follow when

placed in the position of influencing the expenditure of public funds.

I hope that all employees will view these guidelines not as hurdles but as stepping stones in awarding negotiated contracts in a prompt and professional manner to accomplish the EPA mission. An early and open communication between the Project Office and the Contracting Office is an essential element in the negotiated contracting process. I urge all prospective Project Offices to involve their respective Contracting Offices in the early phases of all negotiated contract planning.

Thomas E. Carroll
Assistant Administrator
for Planning and Management

GUIDE

ENVIRONMENTAL PROTECTION AGENCY

GUIDE FOR CONTRACT PROJECT OFFICERS

Page No.

PART I

NEGOTIATED CONTRACTING PROSPECTIVE . . . . . 1 - 6

PART II

PRESOLICITATION PLANNING AND DETERMINATIONS . . . . . 7 - 28

A. Advance Procurement Planning . . . . . 7 - 10

B. Competitive vs. Noncompetitive Procurements . . . 10 - 14

C. The Written Request for Negotiated Contract . . . 14 - 17

D. Obtaining Sources . . . . . 17 - 21

1. Research and Development Sources Sought . . . 19 - 20

2. Individual Synopsis . . . . . 20 - 21

3. Source Files 21

E. Preparation of the Request for Proposal (RFP) . . 22 - 28

1. Scope of Work Preparation . . . . . 23 - 25

2. Technical Proposal Requirement of the RFP . . 25 - 27

3. Business Proposal Requirements of the RFP . . 27 - 28

4. Inclusion of Proposal Evaluation Criteria in RFP 28

Page No.

PART III

SOLICITATION, EVALUATION, NEGOTIATION, AND CONTRACT AWARD . . . 29 - 41

A. Solicitation . . . . . 29 - 32

1. Relations and Communications with Prospective Contractors . . . . . 30 - 31

2. Safeguarding Information Received from Prospective Contractors 31

3. Receipt and Handling of Proposals . . . . . 31 - 32

B. Evaluation . . . . . 32 - 36

1. Technical Evaluation . . . . . 32 - 35

2. Business Evaluation . . . . . 35 - 36

C. Negotiation and Contract Award . . . . . 36 - 41

1. Pre-Negotiation Conference 37

2. Negotiation and Contractor Selection . . . . . 37 - 39

3. Contract Preparation and Coordination . . . . . 39 - 40

4. Contract Award . . . . . 40 - 41

PART IV

CONTRACT MANAGEMENT RESPONSIBILITIES OF THE PROJECT OFFICER . . 42 - 57

A. Evaluation and Control of Progress . . . . . 42 - 46

1. Progress Reporting . . . . . 43 - 45

2. Progress Reviews . . . . . 45 - 46

B. Administration Required by Contract Provisions . . . . 46 - 53

1. Prior Approval Items . . . . . 46 - 50

Page No.

2. Evaluation of Inventions and Data Rights . . . . 50 - 51

3. Handling Cost Overruns . . . . . 51 - 53

C. Contract Modifications . . . . . 53 - 56

1. Types of Contract Modifications . . . . . 53 - 55

2. Modifications Within the Scope of the Contract va. New Procurement . . . . . 55 - 56

D. Contract Completion . . . . . 56 - 57

PART V

SPECIAL CLEARANCES . . . . . 58 - 64

A. Printing . . . . . 58 - 59

B. Questionnaires - Forms 59

C. Contractor Use or Acquisition of Property . . . . . 59 - 60

D. Foreign Research Contracts 60

E. Equipment and Services . . . . . 60 - 61

F. Management Consultants 61

G. Classified Contracts 61

H. Modification of Unauthorized Commitments . . . . . 61 - 62

I. Motion Picture Production Requirements 62

J. Unsolicited Proposals . . . . . 62 - 64

PART VI

EXPLANATION AND DEFINITIONS . . . . . 65 - 86

A. Types of Contract Requirements . . . . . 65 - 67

1. Service Contracts . . . . . 65 - 66

Page No.

2. Data Requirements Contracts 66

3. Material or Hardware Contracts 66

4. Combination Requirements . . . . . 66 - 67

B. Personal Versus Non-Personal Services Contracts . . . . . 67 - 68

C. Types of Contract Cost Arrangements . . . . . 68 - 78

1. Cost-Reimbursement Contracts . . . . . 68 - 74

2. Fixed-Price Contracts . . . . . 74 - 77

3. Fixed-Rate Contracts . . . . . 77 - 78

D. Architect and Engineering Contracts . . . . . 78 - 79

E. Definitions . . . . . 79 - 85

F. Responsibility Chart 86

PART I

Negotiated Contracting Prospective

- PART I -

NEGOTIATED CONTRACTING PROSPECTIVE

There are a number of fundamental tools utilized by EPA to accomplish its mission. The principal mechanisms are the in-house project, the grant, and the contract. Determining the proper blend of these tools is a prime responsibility of program managers. The grant and the contract are the most complicated and involved because in both instances large sums of money are being passed on to organizations (profit and non-profit) outside of the Government who are in one way or another competing against each other for recognition. At this point, the similarity between Grants and Contracts ends.

Let us examine the basic differences between the Grant and Contract situations.

Controls

In theory the contract situation calls for more controls to be placed upon the contractor than would normally be called for under the grant situtation; however, there are varying degrees of controls written into both types of agreements depending upon the situation. The contract generally places more rigid controls on expenditure of funds than does a grant.

Solicitation and Application

Under a contract situation, the initial contact with the prospective contractor(s) is usually made by the Government in the form of a formal solicitation (Invitations for Bid or Request for Proposal). Under a grant situation, the initial action is usually taken by the prospective grantee in the form of an application submitted to the cognizant program or grants management office; however, EPA legislation allows for some programs to solicit grant applications.

Percentage of Reimbursement

The Contractor generally expects to be totally reimbursed (including profit if appropriate) for the material and services provided under a contract. However, most grants contain cost-sharing arrangements which require the grantee to contribute a certain portion of the total amount.

Profit or Non-Profit

Although some of our EPA contracts are written with non-profit organizations, the contract mechanisms are designed for a profit situation. In many instances competition is conducted prior to contract award. Grants are not normally awarded to profit making organizations, nor can formal competition be conducted in grant awards.

Benefits

The type of benefits to be derived from the project may also determine the selection of either the contract or grant mechanism.

Grants are often used as a device to assist in the financing of projects. Contracts are usually awarded to secure services and equipment required by the EPA programs in working on national problems.

Due to variances in EPA grant program legislation, the general criteria distinguishing a grant from a contract situation are subject to exception. If the Project Officer has any doubt as to the type of agreement to be employed, he should contact his Contracting Officer or Grants Management Officer at the inception of the requirement. Additional information regarding Grants is available in the EPA Staff Manuals to be distributed by the EPA Grants Management Division.

After a determination has been made that the project requirement can be best handled by the contract mechanism, an additional determination is needed to decide if the situation calls for an advertised contract (IFB) or a negotiated contract (RFP). Many people consider the word "advertised" to be synonymous with "competition" and the word "negotiation" to be synonymous with "sole source." This is not always the case and often causes much confusion for the Project Officer and eventually the Contracting Officer.

The basic criteria for an advertised contract situation are as follows:

(1) It is possible to define adequately the contract requirements to the extent that qualified bidders can provide fixed price bids on an equal technical basis for like equipment or services.

(2) The Contracting Officer is willing to make a contract award to the lowest responsive bidder without a need for technical evaluation and without Project Office discussion with bidders.

(3) It is reasonable to believe that more than one source can provide a bid on the requirement.

(4) The Government's initial estimate for the requirement is in excess of $2,500 for material or services or in excess of $2,000 for construction. (Procurements of small dollar value are generally not considered to be worth the time and expense involved in a formal advertised procedure and may be negotiated by using a less involved competitive procedure.)

In contrast, the basic criteria for a negotiated contract situation are as follows:

(1) It is not possible to adequately define contract specifications (such as for research and development requirements) to the extent that the Government would

be satisfied by awarding the contract to the lowest offeror based upon price competition alone.

(2) The Contracting Officer determines that another form of evaluation in addition to the cost evaluation is required. In most cases a technical evaluation is necessary to determine those proposals which are the best technically. In some research and development requirements, it may be in the best interest of the Government for the Contracting Officer to select a higher price proposal depending upon the degree of its technical superiority as determined by the project officer.

(3) If after a survey of existing technical sources and their respective capabilities, it is determined by the Contracting Officer that there is only one source (including educational institutions) who can meet the requirements of the proposed contract. (The various criteria for sole source selection will be presented later.)

According to existing laws, regulations, and good business practice the Contracting Officer must first consider the element of competition in a negotiated contracts situation. If the negotiation method is determined to be more appropriate than the advertised method, this is not justification in itself for sole source contracting. In both

advertised and negotiation situations, competition is the first consideration.

The following PARTS II through IV cover the complete negotiated contracting process from the initiation of the requirement by the Project Office through to the contract completion. PART V covers special situations which are often associated with EPA negotiated contracts and PART VI includes some brief explanations, definitions, and a chart of responsibilities which are intended to aid the Project Officer's understanding of the negotiation process as it should be performed in EPA.

It is the intent of this manual to provide prospective contract Project Officers with an understanding of the negotiated contracts mechanism and the procedures involved, and to provide effective communications between Project Officers and all supporting administrative elements, i.e., Contracting Officers, attorneys, and auditors.

PART II

Presolicitation Planning and Determinations

- A. ADVANCE PROCUREMENT PLANNING
- B. COMPETITIVE VS. NONCOMPETITIVE PROCUREMENTS
- C. THE WRITTEN REQUEST FOR NEGOTIATED CONTRACTS
- D. OBTAINING SOURCES
- E. PREPARATION OF THE REQUEST FOR PROPOSAL (RFP)

- PART II -

PRESOLICITATION PLANNING AND DETERMINATIONS

The most important, yet often most overlooked, phase of the negotiated contracting process is the presolicitation phase. The Contracting Officer is the Government's only authorized representative to solicit a formal proposal from a prospective contractor. The Contracting Officer is required by law to make certain significant determinations during the process, most of which have to be made prior to solicitation. Therefore, it is extremely important for the initiating project office to contact the Contracting Officer immediately upon conception of a contract requirement. Many of the problems encountered in the negotiated contracts process today have occurred because an early and open communication was not held between the initiating project office and the Contracting Officer. The initiating project office should attempt to designate a responsible Project Officer as soon as possible during the presolicitation process. The designated Project Officer should become closely associated with the proposed contract program and should serve as the technical contact for discussions with the Contracting Officer throughout the process.

A. ADVANCE PROCUREMENT PLANNING

The effectiveness of the contracting activity is greatest and the interests of the initiating project office are served

best if procurement planning is conducted before the formal written Procurement Request document is initiated by the Project Officer. Indeed, the very nature and complexity of ERA negotiated procurements demand advance planning. Moreover, after the Procurement Request document is received by the contracting activity, the planning must continue until a definitive contract has been placed with the selected source.

The benefits derived from procurement planning are many, and include the following:

(1) Procurement work loads in both the project office and the contracting activity can be scheduled more effectively; peak periods can be forecast and planned for; and individual procurements requiring special handling can be identified and accommodated.

(2) When the availability of qualified sources is not fully known, a systematic search can be undertaken and source capabilities determined with the thoroughness that is required.

(3) When written justifications are necessary to support the contractual method of handling the procurement, they can be prepared with due confidence of approval by higher authority.

(4) Drafting of work statements can begin at the earliest practicable date, thus providing the best possible description of the Government's requirements from both a technical and

a contractual standpoint.

(5) An early determination can be made that internal approvals and clearances are required and action can be initiated early enough so that contract award will not be delayed. (Many of the approvals and clearances will be discussed in PART V.)

(6) The effectiveness of the EPA negotiated procurement process in obtaining acceptable technical products or services at the lowest possible cost is improved.

(7) As an advance planning tool, the contracting office may initiate a competitive solicitation by incorporating in the Request for Proposals a provision indicating that funds are presently not available and that an award under the solicitation is contingent upon the availability of funds. This procedure shall be followed only when the funds which are envisioned to be used are under Congressional review and the appropriation of the funds is imminent.

(8) Legal and regulatory requirements obviously affect the procurement leadtime. One advantage of early contact with the Contracting Officer is that it provides him with the opportunity to anticipate the procurement steps ahead in view of the specific situation, procurement leadtime may be shortened if the contract situation can be well thought out in advance.

Since the basic planning inputs are generated by the technical program organization, advance procurement planning action must originate from that organization. However, it is the Contracting Officer's responsibility, when planning action is initiated, to provide the guidance necessary to make sure that the planning effort actually does produce the desired results.

B. COMPETITIVE VS. NON-COMPETITIVE PROCUREMENTS

The document which the initiating project office submits to formally initiate its technical requirement shall be discussed in detail later; however, in the event sole source procurement is recommended, a separate memorandum shall be attached which justifies and thoroughly documents the sole source recommendation. The final decision as to sole source solicitation rests with the Contracting Officer. This sole source recommendation or "Justification for Non-Competitive Procurement," shall be discussed by the Project Officer and the Contracting Officer during the ADVANCE PROCUREMENT PLANNING period previously described.

Procurement law and sound procurement practices require that competition be obtained whenever possible. There are circumstances, however, where one institution or commercial organization possesses an exclusive or predominate capability by reason of experience, specialized facilities, or technical competence, to perform the work required. In such instances, the program official introducing the requirement to the procurement process may recommend acquisition

from a single source. EPA guidelines on noncompetitive procurement are contained in EPA Order 1900.1.

The following instructions are set forth to provide meaningful guidance to the individuals responsible for initiation of the noncompetitive procurement justification document:

(1) The requirement for such justification does not apply to the following:

a. Procurements of $2,500.00 or less;

b. Procurements from or through other Federal agencies;

c. Procurement of utility services where the services are available from only one source.

(2) The justification document shall give clear and complete discussion of the reasons that preclude competition and shall contain as a minimum the following information:

a. Is this requirement a continuation of previous work performed by this contractor? Relate pertinent background data and identify the continuation of any previous work giving reference to the contract number(s).

b. State whether drawings and specifications suitable for competition are available. If drawings and specifications are not available, state why not, and the leadtime and cost required to obtain them.

c. List other contractors considered for this requirement; the degree of consideration given to them; and the particular capabilities they lack to fill this requirement.

d. State why the contractor selected is best able to fill the requirement and meet the required delivery schedule. Consider such factors as the

(1) Particular capabilities. (What capability does the proposed contractor possess that is so unique to the specific effort that it would exclude offering all other sources in the same general field the opportunity to present their capabilities for evaluation competitively?)

(2) Facilities and/or specialized equipment. (What facilities and test equipment does he have which are specialized and vital to the effort and which cannot be provided by other sources?)

(3) Substantial investment. (Does he have a substantial investment of some kind which would have to be duplicated at Government expense by another source entering the field?)

(4) Inadequate technical data and information. (If lack of drawings or specification is a guiding factor, why is the proposed contractor best able to perform under these conditions?)

(5) Continuation of previous effort. (Is the effort a continuation of previous effort performed by the proposed contractor whereby to make an award to

another contractor at this time would require additional funds and time to bring the new contractor up to the present level of expertise of the incumbent?)

(6) Patents, data, and copyrights. (Is competition precluded because of the existence of patent rights, copyrights, or proprietary processes?)

(7) Uniqueness of approach or capability. (What prior experience of a highly specialized nature does the proposed contractor possess which is vital to the proposed effort? Does the contractor have personnel considered predominant experts in the particular field?) The fact that a proposer sends in a proposal containing a unique idea or proprietary data does not in itself constitute a noncompetitive source of supply. It may be possible that there are other potential sources with an equally suitable approach or proprietary ideas which could accomplish the same end results. If a situation of this nature develops the Government representative shall draft a performance scope of work that does not compromise the unique idea or proprietary data of the proposer and which will give other potential sources an opportunity to compete.

(8) Phasing of procurement. (Is the basic rationale of the prior state of the procurement applicable to the follow-on stage? If not (a) is competitive procurement now possible or (b) do other factors exist which justify a noncompetitive situation for the follow-on stage?)

The four items set forth as a, b, c, and d, above, will be included in the justification even if a negative statement must be made (e.g., this requirement is not a continuation of previous work performed by this contractor). The justification need consider only the pertinent sub-items (1) through (8) above. The justification will be documented only by information that is based on facts rather than unsubstantiated conclusions. Documentation in the justification should be sufficient to permit an individual without technical competence in the area to follow the rationale.

C. THE WRITTEN REQUEST FOR NEGOTIATED CONTRACT

The Project Officer formally initiates his negotiated contract requirement to the Contracting Officer in the form of a written procurement request. The following basic information should be included with the Procurement Request (EPA Form No. 1900-8):

(1) Title of Project (include Program Element Identification;

(2) Estimated period of performance (in months). Distinguish between technical effort and time for submittal of final report when appropriate;

(3) Project Officer;

(4) Background. Briefly, what is the status of present knowledge in this field? What is the present need?

Does this project meet that need? What other contracts are in existence or in process of negotiation with other organizations or individuals which are designed to accomplish a related purpose?

(5) Purpose of contract or modification. What is the proposed program designed to do or furnish? What use will be made of the product or service co be procured?

(6) Procurement abstract. Describe briefly for publicity purposes both program background and scope of work. This abstract will be included in all material synopsized in the Commerce Business Daily and may be transmitted internally for information purposes. Abstracts for competitive procurements should contain remarks about desired qualifications of prospective contractors so that unqualified firms will not become involved.

(7) Scope of work. Describe work and services to be performed, including in detail the methods (statistical, clinical, laboratory, epidemiological, etc.) that will be used. Aside from money, what other Government contribution (equipment, property, etc.) will be necessary? Have any arrangements been made for the Government contribution?

(8) Proposed budget with estimated man-hours involved.

(9) What types (monthly, quarterly progress and/or financial) of reports or other certification of satisfactory progress

will be required and how many copies of each are necessary? The project office must specify the quantity of final reports to be delivered by the contractor. If a draft version of the final report is required for Government review, how many days will be needed for this review and return of the corrected draft report to the contractor for preparation of the final version? How long a period will be needed for the contractor to prepare and distribute the final report?

(10) What clearances will be needed (printing, data processing, questionnaire, management consultant, foreign contract, etc.) and what action has been taken to secure these clearances?

(11) List of proposed contractors. If only one source, then the "Justification for Noncompetitive Procurement" described in PART II must be included.

(12) Evaluation criteria for competitive procurement. (Can be attached as separate document to be included in the Request for Proposal.)

This same document may also be used by EPA program offices as a program approval document. The Contracting Officer will not commence action on the procurement until the proposed contract is approved from a technical standpoint by authorized program officials as designated by the respective Assistant

Administrator. In the event that additional inter-Government clearances and approvals are required the Project Officer should thoroughly document the action taken or to be taken. PART V includes additional information on these clearances and approvals which occur frequently.

The Procurement Request document is required for each contract modification involving additional contract effort with additional funds and for each new contract which requires additional funds. Other types of requests for contract modification actions such as no-cost time extensions, administrative changes, etc., may be handled in a less formal manner as prescribed by the Contracting Officer.

D. OBTAINING SOURCES

Depending upon the type of requirement (services, research, film production, testing, equipment, etc.), there are various methods used to obtain prospective sources under a competitive situation. The initiating project office and contracting office should be jointly interested in obtaining qualified sources and in assuring that adequate competition can be conducted.

The Federal Procurement Regulations require, with few exceptions, that a synopsis of proposed procurements estimated to exceed $5,000.00, be published in the Commerce Business Daily.

The synopsis procedure is to be used to the fullest possible extent in order that potential sources may learn of the Government's interest in specific fields, and to obtain full competition in Government prime and subcontracts.

Some of the major exceptions to the synopsis requirements are: classified procurements, inter-agency orders, personal or professional services, education institutions, an order placed under an existing contract, and unusual or emergency requirements.

Success of the EPA Small Business Program depends upon the degree of project office participation. The initiating project office must confer with the contracting office to cooperatively seek and develop information on the technical competence of small business concerns for products and/or services contracts. EPA Small Business Advisors regularly bring to the attention of Contracting Officers and Project Officers, descriptive data, brochures and other information as to small business concerns that are apparently competent to perform the work in fields in which the purchasing activity is interested. In addition, the Small Business Administration can provide pertinent information concerning potential economically or socially deprived suppliers by making available preferential 8 (a) contracts in accordance with the Small Business Acts of 1953. Full consideration shall be given to such information in selecting qualified sources.

There are three basic ways to obtain sources for negotiated contract requirements initiated by the Project Officer.

(1) Research and Development Sources Sought

In research and development, the Project Office is usually involved in a specific technical area where the state-of-the-art is constantly being redefined and the latest technical information may not yet be published. As a result of this constantly changing environment, new research and development sources become available almost every day. Also, older, more established organizations, might suddenly develop capabilities not previously known to the initiating project office.

In research and development programs, the Commerce Business Daily may be used to publish advance notice of the EPA's specific requirements or interest in specific fields. Through this mechanism potential sources are given an opportunity to submit information demonstrating their capabilities in a specific field or for satisfying specific requirements. This mechanism enables EPA project offices to obtain the best possible sources and to eliminate marginal sources who might be wasting their effort and money by submitting proposals in response to routine Request for Proposals. Proposal preparation can be very costly and if the contractor does a sizeable amount of Government work, the costs of preparing proposals are included in overhead costs shared by the Government.

Respondents to Sources Sought Synopsis are evaluated by EPA project personnel on professional qualifications of scientists or other technical personnel, general and special facilities, and experience in previous or current projects in the given area.

The Contracting Officer is responsible for preparing and forwarding the synopsis to the Commerce Business Daily and is also responsible for receiving the information submitted by prospective sources. The initiating project office is responsible for assisting the Contracting Officer in preparing the Sources Sought write-up. As a minimum, the project offices should provide an outline of the major tasks or major programs to be accomplished under the contemplated procurements or group of procurements and the criteria to be used in evaluating source capabilities. The information received by the Contracting Officer in response to the synopsis will be forwarded to the project office for evaluation and ratings. The project office may add other known qualified sources in addition to those responding to the final source list.

(2) Indidivudal Synopsis

In a situation where the R&D Sources Sought Synopsis is not appropriate, an individual synopsis will be released to the Commerce Business Daily at least two weeks before the Request for Proposal is issued. This method is more appropriate for requirements that are more defined than the R&D type of programs or in situations where time is not available to utilize the Sources Sought described above.

Since there is no evaluation of the sources requesting Requests for Proposals, the individual synopsis should be written clearly to show the specific qualifications that the potential sources must have to be considered as acceptable offerors. The Project Officers may recommend known sources to be added to the source list prior to or after the issuance of the individual synopsis.

(3) Source Files

In situations where there are contract requirements of a continuing nature that are within specific technical areas, the Contracting Officer will maintain source files. These lists may be used on a rotation basis. For instance, if there are 100 qualified sources, the Contracting Officer may choose to solicit proposals from 10 sources each time a requirement is generated. If it is appropriate to use the source file method, the Contracting Officer must assure that the files are up-to-date with the latest capable sources. New procurements still require the individual synopsis even though source files are utilized.

The three basic methods described above can be used with variation. In some instances, it may be appropriate for the Contracting Officer to employ a combination of two or all three of the methods to obtain sources for negotiating contracting requirements.

E. PREPARATION OF THE REQUEST FOR PROPOSAL (RFP)

After receipt of the approved Procurement Request document, other required inter-Agency or inter-Government clearances, and selection of the sole source or sources, the Contracting Officer, with assistance from the Project Officer, will prepare and release the Request for Proposal (RFP).

Although the exact format may vary within EPA components, the negotiated contracts RFP should contain the following essential items:

- Transmittal Letter
- Solicitation Instructions
- Special Provisions with Scope of Work
- EPA General Provisions
- Proposal Evaluation Criteria
- Technical Proposal Instructions
- Business and Cost Requirement Instructions
- Bidder Representations and Certifications Statement

This type of RFP package should be used for both multi-source and sole source documents; however, the extent of information requested under a sole source RFP could be limited if the Contracting Officer is convinced that circumstances warrant a less detailed proposal.

The project office is responsible for all technical contents of the RFP including the Scope of Work or Statement of Work, the

instructional material relating to the contents of the technical proposals and the proposal evaluation criteria.

(1) Scope of Work Preparation

The amount of detail to be put into an RFP Scope of Work will be determined by the type of technical requirement. There are obviously many unknowns in a basic or applied research situation; therefore, the RFP Scope of Work will tend to be general and flexible enough to permit the prospective proposers some degree of latitude in structuring a technical approach to solve the problem. On the other hand, the Scope of Work for an advanced development or hardware requirement should be more definitive as would an RFP Scope of Work for testing or survey services which would define the amount and type of tests or surveys. In all situations, the project office should draft a Scope of Work which is clear, and contains no ambiguities. A good Scope of Work is a prerequisite to an effective and efficient contract.

Work statements can vary from simple statements of objectives to complex statements of performance requirements. Regardless of their simplicity or complexity, certain general principles apply to all of them. First, work statements must be neither so narrow as to restrict the Contractor's efforts nor so broad as to permit the Contractor to explore areas having little relationship to the particular work. Secondly, a work statement defines the Contractor's obligation and should therefore be definitive

enough to protect the Government's interests. Finally, a contractor, taking his ultimate direction from the statement alone, should be able to perform the required work. The work statement will affect the procurement beyond directing the contractor's effort and:

a. May affect the number of good sources willing and able to prepare proposals for the work. If it is too broad, firms may choose not to propose, either because of the risks involved or because they are not able to immediately relate the work requirements to their talents. On the other hand, if it is too restrictive, the most capable (and desirable) sources may feel that their creativity will be stifled by Government overdirection.

b. Will affect the type contract that will be written. For example, if the effort to be performed is well-defined a fixed-price contract may be feasible. On the other hand, if the amount of effort required to perform the work is very uncertain at the outset, a cost-plus-fixed-fee (CPFF) contract may be necessary because of the inability to estimate costs accurately enough to set an acceptable fixed-price.

c. Can affect the basis on which the contract may be written. For example, negotiated R&D contracts may be either completion or term contracts. The completion contract requires the

Contractor to complete and deliver a specified end product -- such as experimental hardware or a final report. The term contract requires the Contractor to apply a specified level of effort -- by man-month or cost rate of effort -- for combined or separately designated categories of labor for a specified period of time.

d. Will affect the evaluation of proposals, just as it will affect the proposer's approaches to the work. Proposal evaluations must be based on the work statement -- on what the project office has stated that it desires.

e. Will affect the administration of the contract, since it defines the Scope of Work -- what the Contractor does and what the Government receives. The manner in which scope is defined will govern the amount of direction that the assigned Project Officer can give and what the Contractor will accept during the contract period of performance.

2. Technical Proposal Requirement of the RFP

One of the principle advantages in using the negotiated contracting mechanism to obtain research and development is that it gives the project office the opportunity to perform a technical evaluation of sources before a final decision is made by the Contracting Officer. The project office should take advantage of this opportunity by providing the contracting office with definitive Technical Proposal

Requirements for the RFP.

In negotiating competitive procurements, particularly research and development type, selection of the Contractor can be influenced by the technical ratings of the proposed Contractors as much as by the comparisons of cost estimates. Consequently, technical (or engineering) proposals are solicited in addition to price quotations. Technical proposals are solicited to insure a Contractor's understanding of the requirement and to determine his planned method of approach to the work. Moreover, they are used to evaluate his technical, engineering, and nontechincal qualifications to perform the work of requisite quality or to produce items efficiently in time to meet the Government's needs.

The requirements for technical proposals should be clearly stated in the RFP. It should include details as to the scope and format desired and the kind of information required. These factors will vary, of course, according to the type, complexity, and individual requirements of the specific procurement. No rigid rules can be made about what should and should not be required. Whenever possible, however, the solicitation should provide insight into the technical factors, criteria, and/or problems involved. In other words, they should say what the Contractor should consider, as a minimum, in preparing his technical proposal. These same factors will, of course, be considered by the Government in its evaluation. This will help

to give to prospective Contractors a common understanding of the EPA requirements and proposed method of evaluation; and it permits meaningful comparison of the proposals received.

Failure to adequately describe the scope and format of the technical proposals may create needless delays and extra administrative effort. For example, if the requirement is not presented clearly, a fully qualified Contractor might fail to present a complete picture of his technical qualifications. Or he might not indicate the backgrounds of his engineers or his past experience in a specific area. Valuable time would be lost in obtaining the missing data -- and the Contractor might even be disqualified on the grounds of inadequate technical competency. Either outcome could reduce the effectiveness of the procurement.

3. Business Proposal Requirements of the RFP

Based upon the Scope of Work prepared for the RFP, the Contracting Officer will determine if the proposals to be solicited will be cost-reimbursement or fixed-price. The Contracting Officer will then complete the RFP contents by selecting the appropriate special and general provisions for the intended contract and by including certain required certifications, statements and cost analysis forms for the Contractor to fill out and sign. If the circumstances call for it, the RFP may also require the Contractors to submit additional information regarding business capabilities such as corporate structure,

number of employees, past performance, available facilities, etc. In most situations, particularly for the competitive RFP's, the prospective offerors will be requested to submit separate technical proposals and cost proposals, which will be evaluated separately by the project office and contracting office. The technical evaluation must be conducted without the cost information so that the Contractor's proposed costs will not influence the technical evaluation; however, project offices will be provided specific data necessary to the technical evaluation, i.e., proposed level and type of labor, subcontract, and travel information, etc.

4. Inclusion of Proposal Evaluation Criteria in RFP

In view of the prevailing requirement that Requests for Proposals shall contain sufficient information to enable a prospective offeror to prepare a quotation properly, it is considered sound procurement practice to include the evaluation criteria, both technical and business, in the solicitation. A mathematical formula is not required to be used in the RFP evaluation criteria; but offerors should be informed of at least the major factors to be considered and the relative priority of each of the factors. Whether or not numerical ratings are used, notice should be given as to any minimum standards which will be required of any particular element of the evaluation. Also, reasonably definite information should be given as to the degree of importance to be accorded to the particular factors in relation to each other.

PART III

Solicitation, Evaluation, Negotiation, and Contract Award

- A. SOLICITATION
- B. EVALUATION
- C. NEGOTIATION AND CONTRACT AWARD

- PART III -

SOLICITATION, EVALUATION, NEGOTIATIONS, AND CONTRACT AWARD

The Contracting Officer will release the Request for Proposal (RFP) to the selected source or sources. The RFP will specify the date on which respondents must submit their proposals and should include the essential contents as previously mentioned in PART II. During the Proposal Preparation and Evaluation Period all written or oral communication between the Government and the Contractor should be controlled by the Contracting Officer. In sole source situations, the Contracting Officer may prescribe a less formal method of solicitation, evaluation and negotiations; however, the basic principles should be observed as described below.

A. SOLICITATION

Subject to the Contracting Officer's determination as to the number of sources that constitute adequate competition, all properly qualified sources should be given equal opportunity to participate in Government procurements. Every source solicited for a proposed procurement must be provided the same information. No action may be taken that might give one organization an advantage over the others. This applies to all procurements -- formally advertised or negotiated -- and to both prime contractors

and subcontractors. The Request for Proposal, therefore, advises all offerors that any questions concerning the procurement should be referred only to the Contracting Officer or his representative who is responsible for coordinating technical questions with the initiating project offices.

(1) Relations and Communications with Prospective Contractors

Between the time that the Requests for Proposals are mailed and the contracts awarded, only authorized procurement personnel should have any contact with prospective Contractors. If bidders or pre-proposal conferences are considered necessary to discuss the procurement and transmit technical or other information to the firms solicited, they must be arranged for and managed by the Contracting Officer or his respresentative. All correspondence to prospective Contractors must be signed by the Contracting Officer or authorized representative and he must receive all correspondence from prospective Contractors. In the course of these discussions, if one Contractor is given information that would aid him in preparing his offer or the lack of which would be prejudicial to the uninformed offerors, the same information must be provided to all other organizations solicited. This is done by means of modifications to the RFP which correct, clarify, or change the EPA's requirements and must be sent to all firms solicited.

Program personnel must not disclose to any persons or firms outside the EPA any information relative to a procurement. Even within the Government, disclosure of such information should be on a "need to know" basis only.

(2) Safeguarding Information Received from Prospective Contractors

One of the most important administrative responsibilities of EPA program and procurement personnel during the pre-award period is to maintain the confidential nature of information that prospective Contractors include in their offers. This is a prerequisite to sound business and procurement practices since if one Contractor receives information that gives him an advantage over another, competition is destroyed. Then, too, unless they are assured that these data will not leak out to their competitors, prospective Contractors may be unwilling or hesitant to provide the EPA with information about their operations.

(3) Receipt and Handling of Proposals

It is vital that the receipt, storage, and handling of proposals and quotations be treated with all the safeguards necessary to prevent any prospective Contractor from receiving information that might give him a competitive advantage over others.

Under negotiated procurements the opening of proposals is not public; competing Contractors are not given the opportunity to inspect proposals; and the proposals or quotations are not held to the strict element of "responsiveness" required for bids. For example, a Contractor might propose a variation from that requested in the RFP, but, because of the uniqueness of his approach he might still receive the award.

In negotiated procurements, the handling of late proposals, or of modifications to proposals submitted on time, is more complex than it is in formal advertising and frequently creates problems for procurement and program personnel. Specifically, the EPA reserves the right to "consider" offers or modifications to RFP's that are received after the date specified for receipt, but before award is made, if such action is deemed to be in the Agency's best interest, for example, if the late proposal or modification offers a material advantage to the Agency such as significant technical improvements or favorable cost adjustments.

B. EVALUATION

(1) Technical Evaluation

The contracting office will forward copies of all technical proposals received to the project office with a request for technical evaluation. Generally, contracting personnel are not qualified to evaluate proposals from a

technical viewpoint and must rely on scientific and engineering personnel for this function. Research and development awards should be made to those organizations whose proposals offer the highest competence, consistent with EPA requirements, in the specific field of science or technology involved. Awards need not be made on the basis of proposals offering efforts that exceed those needed for the successful performance of the work. It is imperative, therefore, that technical evaluations and recommendations be fully documented and reviewed by responsible personnel.

The project office or evaluation team shall evaluate the technical aspects of each proposal in accordance with pre-established technical evaluation criteria as discussed in PART II. The evaluation criteria are weighed by the project office according to their importance in the particular procurement. In the event technical clarification of an offeror's proposal is required, the project office shall notify the contract negotiator so that arrangements for obtaining the required information can be made prior to the formalization of the technical evaluation memorandum. Also, the program may wish to consider alternate proposals or proposals which suggest deviations from the Government's Scope of Work statement. Under a Sole Source procurement, such proposals are explored with the offeror during this technical clarification period and the Scope of Work modified to reflect changes agreed upon. However, in a

competitive procurement situation all prospective offerors must be given the opportunity to revise their proposals if a significant change in the Scope of Work is being considered. If necessary, a technical clarification conference will be convened with the prospective offerors by the Contracting Officer.

The project office shall prepare and submit to the Contracting Officer a technical evaluation memorandum containing the results of the evaluation and recommendations as to the proposals deemed technically acceptable.

While there is obviously no standard format for presentation of the technical evaluation, certain factors must be considered to assure that sufficient technical reviews are presented. Even where a mathematical rating system is employed, the Project Officer must support his findings with concrete technical data and narrative which documents the conclusions reached about acceptability or unacceptability of proposals. This information is necessary for entertaining competitive negotiations and the subsequent providing of justification and documentation of the contract award. The technical evaluation memo should contain sufficient documentation to adequately describe the recommendations of the evaluation team and to justify the reasons why any offeror is or is not capable of performing the work. Also, the documentation should include (1) an indication of the probability as to successful

performance of the work; (2) the reasons why an offeror rated low, high, etc.; (3) strong points and/or weaknesses in the proposal; (4) the items which should be discussed with offeror during negotiation; (5) the items which should be clarified with offeror prior to determining whether or not he may be able to successfully perform the work; (6) areas in which the offeror has proposed work in excess of that required by the RFP and conversely areas which were omitted by the offeror but required by the RFP; and (7) in cost-plus-a-fixed-fee or cost-reimbursement type procurements, an indication as to whether the level of effort (man-hours, including type of labor skills) is adequate for performance of the work.

2. Business Evaluation

The Contracting Officer will normally perform a business evaluation of those proposals determined to be technically acceptable and within the competitive range. To assist him in this analysis, the Contracting Officer may obtain advice from finance, pricing, audit and other cognizant Agency specialists having procurement responsibility. Simultaneous coordination of the efforts of these specialists will be obtained to the maximum extent practicable to compress the procurement leadtime. The business evaluation will include a review of the following:

a. Cost Elements

The direct labor costs, material costs, overhead rates,

travel policy, and profit factors are verified to assure fairness and reasonableness.

b. Contractor's Management Capability

In making this appraisal, such factors as the Contractor's management organization, past performance, reputation for reliability, availability of required facilities, cost controls (accounting), purchasing procedures, property control methods, financial stability and nondiscrimination (equal employment opportunity), are considered.

As a result of the technical evaluation and business evaluation, the Contracting Officer can best determine which aspects must be stressed during negotiations with the selected Contractor or Contractors. The Contracting Officer is required to negotiate with all offerors who are determined to be in the competitive range, price and other (technical) factors considered.

C. NEGOTIATION AND CONTRACT AWARD

Under a negotiated procurement, selection of the source or sources (after review of the technical and business aspects of the offers received) marks only the beginning of the task of negotiating a definitive contract. Contract negotiation entails: (1) reaching agreement with a proposed Contractor on the pricing and other provisions that will condition his

performance on the contract; (2) setting forth these terms in a mutually acceptable contractual document; and (3) justifying the contract negotiated.

(1) Pre-Negotiation Conference

Prior to negotiations with the selected offeror or offerors, the assigned Contract Negotiator may conduct a meeting with those members of the Government's negotiation team who will participate in negotiations. The purpose of this meeting is to present the objectives to be sought during negotiations and to establish a unified negotiation position. Pre-negotiation meetings are normally required for the high-dollar or complex contract negotiations.

(2) Negotiation and Contractor Selection

The Contractor Negotiator will make arrangements for negotiations with the offeror or offerors who have been determined to be within the competitive range. The goal of negotiations is to achieve a contract agreement that is most advantageous to the Government, price and other factors considered. Negotiations may be held at the Contractor's site, at the EPA facility, or by telephone, depending upon the complexity and magnitude of the proposed contract along with economic and time considerations and past mutual experience.

The Contract Negotiator, assisted and supported by the assigned Project Officer and other members of the Government's negotiation team, conducts the negotiations. It is his responsibility to insure the integrity of the negotiation process and to see to it that a mutual understanding has been reached before he concludes the negotiation session. In competitive negotiations no information shall be given to any offeror relative to his standing with other offerors as to technical merit and price. No offeror shall be advised of the prices proposed by other offerors.

The Federal Procurement Regulations prescribe that after receipt of proposals, written or oral discussions shall be conducted with all responsible offerors within a "competitive range," price and other factors considered. Herein the determination of the "competitive range" is extremely important and diligence must be pursued. Once the technical evaluation is completed the evaluations for those proposers who are considered technically acceptable are reconciled with their respective business evaluation (cost included) to determine the "competitive range." It is emphasized that in this regard the "competitive range" is established not by a predetermined cutoff point for acceptability but on the actual array of scores achieved with the desire to assure maximum practicable competition.

The following guidelines must be adhered to when negotiating with all proposers within the "competitive range:"

a. Technical superiority of an offeror's proposal cannot be the sole basis for award of a contract under a negotiated procurement and, therefore, the technical organization's desire for a superior product cannot be used to justify the absence of meaningful technical or price negotiations with other ofrerors in a competitive range.

b. After establishing the competitive range, the determination must be made whether a technically superior proposer who submits a higher cost will prevail over another proposer who is technically inferior but at a lower cost. This approach is especially valuable for research and development cost-type contracts where cost is a consideration but there is no requirement to make an award on the basis of lowest cost. However, when a firm fixed-price contract is contemplated and the technical determination has been made that all within the competitive range can perform well-defined requirements, contract award should be made to the offeror submitting the lowest price.

3. <u>Contract Preparation and Coordination</u>

The Contract Negotiator is responsible for the preparation of

the contract document which shall reflect the agreements reached during negotiations, and for the preparation of other supporting documentation as required by regulations. Prior to release to the Contractor, the contract may be coordinated with the Project Officer, Property Administrator, Legal Counsel, Cost Analyst, etc., to assure that the contract document is fully representative of the Government's needs consistent with statutory requirements and in compliance with Agency regulations.

Although preparation of documentation and information for contract review is a responsibility of the Contracting Officer, the assigned Project Officer also has a direct interest in seeing that it is successfully accomplished. It is imperative that technical personnel fully document and justify the procurement determination they are responsible for making (i.e., necessity for purchase, sufficiency or lack of definitive specifications, delivery and/or performance schedule requirements for which they share responsibility with the Contracting Officer -- the need for negotiation, the source(s) selected for solicitation, and the source(s) actually chosen to perform the work.

(4) Contract Award

The contract will be forwarded by the Contracting Officer to the Contractor for acceptance and signature. The signed

contract will be returned to the Contracting Officer who signs the contract on behalf of the Government. The contract becomes effective on the date signed by the Contracting Officer unless specific arrangements have been negotiated to set forth another date.

A copy of the fully executed contract is forwarded to the Contractor, as well as to Government personnel having responsibility under the contract. All contract awards over $25,000.00 are publicized in the Commerce Business Daily. Further, all unsuccessful offerors are advised in writing by the Contracting Officer as to the name of the successful Contractor, the amount of the contract, the extent of competition attained, and other information which is deemed appropriate for the circumstances. The Contracting Officer is responsible for providing any additional information that may be requested by unsuccessful offerors. All requests for debriefings and formal or informal protests of award must be handled by the Contracting Officer to assure a unified Government position. The Contracting Officer may request the assistance of the Project Officer in responding to such requests or protests.

PART IV

Contract Management Responsibilities of the Project Officer

- A. EVALUATION AND CONTROL OF PROGRESS
- B. ADMINISTRATION REQUIRED BY CONTRACT PROVISIONS
- C. CONTRACT MODIFICATIONS
- D. CONTRACT COMPLETION

- PART IV -

CONTRACT MANAGEMENT RESPONSIBILITIES OF THE PROJECT OFFICER

Those negotiated contracts which require technical monitoring by EPA technical or program personnel will include specific contract language that defines the authorities of the designated Project Officer. The EPA contract Project Officer is usually given authority to act within the Scope of Work of the negotiated contract. The Contracting Officer is the only Government representative authorized to make any type of contract changes outside of the Scope of Work. The designated Project Officer should always consult with the Contracting Officer before issuing any direction to the Contractor which may represent a change in contract requirements.

In seeing that his contract program is properly carried out, the Project Officer should assure that the Contractor's progress is monitored and, if necessary, controlled. Secondly, he should assure that problems or situations which require a contract modification are promptly brought to the attention of the Contracting Officer for resolution.

A. EVALUATION AND CONTROL OF PROGRESS

The assigned Project Officer must continually monitor progress under the negotiated contract, even though the Contractor retains

primary responsibility for contract performance. The extent of this evaluation and control will depend on the complexity and relative significance of the contract and the Project Officer's opinion as to the amount of direction required for a particular technical effort. In evaluating the Contractor's performance, the Project Officer should be concerned primarily with progress toward completion of the required work. Although it is the Contracting Officer's responsibility to assess the financial status of the contract, the Project Officer should be aware of costs incurred as they relate to contract progress.

(1) Progress Reporting

Periodic progress reporting can serve as a tool in performance evaluation. Technical reports which the Contractor is required to submit furnish most of the information needed to evaluate the physical status of the work. If cost control is a concern, the Contractor could be required to submit Financial Reports which will outline the various elements of costs expended versus original or revised projected elements of costs. An item which is very effective is a cost/technical completion overview which requires the Contractor to interpret its technical report in terms of a percentage of technical completion in relation to a percentage of costs expended figure.

a. Technical Progress Reports

Most contracts require the Contractor to furnish periodic technical progress reports to the Project Officer. Since these reports provide Project Officers with most of their information on the progress of the work, they should include all relevant details. (They should not, however, become too burdensome to prepare.) Technical progress reports may be submitted in letter form, and may include the number and names of persons working on the project, the facilities devoted to the work, the number of man-days expended, the direction of the work, the kind of number of experiments being conducted, and the latest scientific data, observations, predictions, and plans for the next reporting period. Contractors should be encouraged to furnish preliminary technical information in these status reports even though it is tentative and not ready for widespread distribution. In addition to keeping EPA personnel informed of progress, the technical progress report gives the contractor an opportunity to periodically evaluate his efforts in terms of the intent and specifications of the contract. A progress report forces both the Contractor and the EPA to periodically evaluate the work performed in relation to all contractual requirements.

b. Financial Status Reports

Financial status reports play an important part in contract

management. This is particularly true in cost-reimbursement contracts because of the possibility of cost overruns. Knowledge of the financial status of the contract is essential to the Contracting Officer in authorizing or withholding payments under the contract. Such reports provide information which is helpful in avoiding or at least anticipating cost overruns. This type of cost information provides both the Project Officer and the Contract Negotiator with a check on the Contractor's expenditures and level of effort (in terms of number of people working on the project, facilities committed to the project and so forth.)

Vouchers submitted for costs expended under cost reimbursement type contracts are often used as a cost evaluation and cost control mechanism. This is the least preferred mechanism and should only be used if it is not reasonable to require Financial Status Reports. The information provided on the Contractor's cost voucher is usually of little value for cost control purposes since it involves actual costs expended and the additional time lapse involved in voucher preparation by the Contractor and processing by the Government does not allow for an up-to-date cost status.

(2) Progress Reviews

The Project Officer may also ascertain or verify contract progress by conducting a personal review either at the EPA

location or at the Contractor's site. Contract requirements could include a Contractor presentation or review to be conducted at various stages of development in the program. Since these types of reviews involve travel and presentation costs for which the Government will pay, periodic telephone reviews with the Contractor's project director may be a more reasonable and feasible substitution for contracts of lower dollar value and complexity. On the other hand, some complex research and development contracts will require both extensive progress reporting and extensive progress reviews. In either event, however, the Project Office should inform the Contracting Officer of any significant problems revealed by such reviews.

B. ADMINISTRATION REQUIRED BY CONTRACT PROVISIONS

The General and Special Provisions attached to a negotiated contract are structured to cover most administrative occurrences under the contract. The following describes the most common occurrences and defines the action to be taken by the Contractor and the corresponding action to be taken by the Project Officer.

(1) Prior Approval Items

In order to control the Contractor's cost expenditures and to insure that the EPA objectives are met, contract provisions require that the Contractor obtain the prior authorization and approval of the EPA Contracting Officer before he takes specified actions or incurs certain costs.

For example, prior approval (or consent in the case of subcontracting) is required for subcontracting under cost reimbursement and certain other type contracts; for reimbursement of anticipated costs to be incurred in excess of cost limitations under cost reimbursement type contracts; and for reimbursement for overtime and premium wage payments. In all cases, the cognizant Contracting Officer is responsible for providing such approvals. However, since the underlying circumstances that call for approval may directly relate to the technical performance of the work, the Project Officer will generally be consulted before approval is formally granted or withheld.

a. Special Elements of Cost

Special provisions can be written into the cost reimbursement contract which require the Contractor to obtain EPA approval before incurring costs for such special elements as travel (foreign or local), consultants, property, data processing equipment or services, etc. These special controls, if determined to be necessary, will require the Project Officer to advise the Contracting Officer as to the need and relationship of the costs proposed to the overall obligations of the contract program. The Contracting Officer will attempt to resolve approvals on these special elements prior to contract award; however, if there are certain unknowns, it may not be possible and prior approval requirements may have to be written into the contract. Great care

should be taken so as not to over-control the Contractor, particularly its subcontractors when it is desirable to allow the Contractor some degree of flexibility.

In the event the Contractor is required to request approval of certain cost elements, the Contractor's request will be directed to the Contracting Officer or his designated representatives. In most all cases the Project Officer will be consulted and asked to comment before the formal approval is given by the Contracting Officer to the Contractor.

b. Subcontracts

Under cost reimbursement contracts, the Contractor must obtain consent for placing (1) all cost reimbursement, time and material, and labor hours subcontracts; (2) fixed-price subcontracts that exceed $25,000 or 5 percent of the contract price; (3) any subcontract for facilities, regardless of value, or for special tooling having a value in excess of $1,000; and (4) any subcontract having experimental, developmental or research work as one of its purposes.

The subcontract consent requirement enables the Government to review proposed subcontracts as to the necessity for subcontracting; the technical capabilities of the prospective subcontractor; the reasonableness of the costs and subcontract terms, the type of subcontract (fixed price, cost reimbursement

and so forth); the scope of the solicitation (competitive or noncompetitive); and the work statement, including applicable specifications, to be included in the subcontract. With regard to the subcontracts for facilities, the requirement for consent does not permit any facilities acquisition to be charged to the Government unless it has been otherwise specifically authorized. Subcontract review and consent provisions are not normally included in firm-fixed-price (FFP) contracts. In appropriate cases where an FFP contract is used, the prime Contractor may be required to perform the research without subcontracting.

c. Overtime and Premium Wages

Contracts are to be performed as far as practicable, without the use of overtime, extra pay shifts, or multishifts, and, in particular, without the use of overtime as a regular employment practice.

If permission to use overtime and shift premium work is requested in the contractor's proposal, or during contract performance, the Project Officer will be asked to validate or justify the need in terms of such factors as (1) the specific work and personnel affected; (2) the estimated amount of premium time required; (3) the estimated period of contract performance during which the use of premium time is required; and (4) whether the use of overtime is necessary to

meet essential program schedules or objectives. If the use of premium time is authorized by the EPA the Project Officer will be periodically consulted by the Contracting Officer to determine whether the continued use of premium time is justified.

(2) Evaluation of Inventions and Data Rights

Under research and development negotiated contracts, inventions are required to be reported to EPA by the Contractor. In addition questions may arise pertaining to rights in data by the Contractor and by the Government. The Project Officer will be consulted on both the invention and rights in data type determinations which may develop during the contract period of performance.

In the event the Contractor reports an invention under the EPA contract, it will be reported directly to the Contracting Officer. The invention report will contain all information required by the "Patent Rights" provisions of the negotiated contract. Final determination of Rights to Inventions shall be made by the Administrator after seeking advice from EPA General Counsel. The Project Officer will normally be contacted by either the Contracting Officer or the Administrator's Office to make comments pertaining to the technical contents of the Contractor's report.

At the present time EPA contracting activities continue to use

the patent clauses they used under their previous organizations, e.g., prior HEW components continue to use the HEW clause while Water Quality Offices use the Interior clause.

The HEW and Interior patent policies vary in that under the Interior blanket policy the Government receives title to subject inventions made under each contract and a license to background inventions thereunder; whereas, under the HEW policy the decision of whether the Government takes title is deferred until after the invention is reported and the decision on licensing the background patent is made on a case by case basis. A standardized EPA patent policy is presently being formulated by our General Counsel which will be published in the Federal Register and therefore be subjected to industry comment. When the policy is finalized, all EPA contracts will contain the same patent provisions.

(3) Handling Cost Overruns

A cost overrun occurs when a Contractor exceeds the estimated costs or the fund limitation of a cost-reimbursement contract. Cost overruns are applicable only on cost reimbursement type contracts because the Contractor is legally responsible for any costs exceeding the total or ceiling prices of fixed price contracts.

Under cost reimbursement type contracts, a Contractor may not be reimbursed for costs incurred in excess of the total estimated costs set forth in his contract schedule. Accordingly, if the Contractor has incurred costs up to the contractual cost limitation,

he is not obliged to continue performance unless the cost limitation is increased by written notification from the Contracting Officer. To avoid delay of work on the procurement while additional funds are being obtained, the standard "Limitation of Cost" clause contained in all cost reimbursement R&D contracts obligates the Contractor to notify the Contracting Officer when the costs he expects to incur in the next 30 days will increase his total incurred costs above 85 percent of the total estimated cost of the contract. The Contractor must also give notice whenever he believes the total cost will be substantially higher or lower than the estimated costs for performing the contract.

The cognizant Project Officer should not depend solely on the above notification requirements to maintain surveillance over cost expenditures as they relate to the technical progress of the work. All too frequently, such notices are not timely enough to permit the Project Officer to initiate appropriate remedial action. Therefore, it is important for him to thoroughly scrutinize every report which the Contractor submits for any indication of an impending overrun. Moreover, he should use his visits to the Contractor's facility as opportunities to detect technical problems, excessive assignment of manpower to the contract, or any other indication of potential cost overrun. Any such situations should be brought immediately

to the attention of the Contracting Officer.

When faced with an overrun, the Project Officer must take appropriate action in consultation with the Contracting Officer. Depending on the circumstances, he may recommend and initiate any one of three courses of action:

a. Terminate the contract for convenience of the Government before the overrun occurs.

b. Modify the contract so as to decrease the technical effort in order to eliminate the need for additional funding.

c. Increase the contract funding to permit completion of the work. If he determines that the work should be completed and if additional funds are avilable, the Project Officer prepares supporting documentation as required by local instructions and forward it through channels to the negotiated contracts office.

C. CONTRACT MODIFICATIONS

(1) Types of Contract Modifications

During the administration of EPA contracts, different types of modifications may be necessary to incorporate new requirements into the contract or to provide contractual coverage for situations that develop after contract award.

Some of these modifications are made in accordance with provisions originally set forth in the contract; others are not anticipated by the original contract terms. All contract modifications must be made in writing by the Contracting Officer. The policy insures that any revisions to contract terms are reduced to written agreements between the Government and the Contractor. An understanding of the types of modifications that may be made to contracts and the correct method for making them can do much to alleviate the problem of informal commitments.

a. Modifications made Pursuant to Contract Clauses

A number of contract terms and provisions provide for modification to a contract if certain conditions arise or if information not known at the time of award becomes available. The standard change clause contained in Government contracts provides that the Contracting Officer may unilaterally direct the Contractor to make certain changes in the work to be followed by such equitable adjustments in the price and delivery schedule as the changes make necessary. These changes must be within the general scope of work and cannot include effort which in the Contracting Officer's judgment constitutes new procurement. The Government Furnished Property clause contains provisions for an equitable adjustment in the contract price and/or delivery schedule in the event the property furnished to the Contractor is not suitable for the intended use.

b. Other types of Modifications

In addition to modifications made pursuant to the terms and provisions of a contract, other modifications, not expressly anticipated by the contract may be necessary. In the proper circumstances, for example, a contract may be amended to increase the quantity of services to be furnished in exchange for an equitable increase in the contract price. Or even if it is not expressly stated in a contract clause, a modification may provide that the Government will, in exchange for equitable c onsideration, furnish certain property that the Contractor was originally supposed to supply or acquire himself. The authority to make these modifications is restricted to situations in which the Government receives additional and adequate consideration in exchange for the agreement. Thus, in the first example cited, the Government pays a higher price but receives new supplies; in the second, it releases the Contractor from his obligation to supply certain components or other property and receives in exchange an appropriate reduction in the contract price.

(2) Modifications Within the Scope of the Contract vs. New Procurement

In discussing contract modifications, it is necessary to distinguish new procurement from other contractual actions such as changes, since new procurement must be treated just as is a new requirement. For example, the procurement of additional

services is new procurement, whether or not there is an existing contract for the same service. Similarly, a change in the essential character of service under an existing contract or additional work outside the overall scope of an existing contract is also new procurement. The question of whether new specification requirements essentially change the character of existing supplies or services may be a difficult one to answer. While the consideration is basically a legal one, all Project Officers should be aware of the distinction between "new procurement" and "changes" to prevent misunderstanding as to the mechanisms involved in implementing each.

If a new procurement is involved, and EPA decided to contract with a Contractor who is already providing similar services under an existing contract, the new requirement may either be incorporated in an entirely new contract or effected as an amendment to the existing one. The action taken will depend on other circumstances, such as time remaining on the existing contract, severability of the new work and so forth. All rules governing new procurement will apply including the solicitation, evaluation and negotiation process.

D. CONTRACT COMPLETION

Upon completion of the contract work, the objective is to close out the contract as rapidly and as efficiently as possible and to make prompt final payment to the Contractor. To this end,

Project Officers should inspect (or have inspected to their satisfaction) all work promptly after delivery, to the extent necessary to determine its acceptability. If possible, any required acceptance tests of hardware should not be delayed unless this delay is provided for by the contract. While there is an unavoidable delay between the time a Contractor completes his work and receives final payment, any lessening of the delay that can be affected without jeopardizing the Government's interest will obviously result in better relations with the Contractor.

When the Project Officer determines that the work is complete and conforms with the technical requirements of the contract, and all items contractually required have been submitted and are determined to be acceptable, he notifies the Contracting Officer and other concerned offices, in writing. Matters primarily the concern of the Contracting Officer such as the return of documents and disposition of Government furnished or residual property, should not delay the notification; these matters can be mentioned in the notification of completion. In so reporting, under an R&D contract situation the Project Officer should take into account such related requirements as reproducing and publishing the final report.

PART V

Special Clearances

- A. PRINTING
- B. QUESTIONNAIRES - FORMS
- C. CONTRACTOR USE OR ACQUISITION OF PROPERTY
- D. FOREIGN RESEARCH CONTRACTS
- E. EQUIPMENT AND SERVICES
- F. MANAGEMENT CONSULTANTS
- G. CLASSIFIED CONTRACTS
- H. RATIFICATION OF UNAUTHORIZED COMMITMENTS
- I. MOTION PICTURE PRODUCTION REQUIREMENTS
- J. UNSOLICITED PROPOSALS

SPECIAL CLEARANCES

The purpose of this PART V is to provide the Project Officer with procedural guidelines for situations frequently occurring prior to the negotiated contracting process which may require specific clearance or approval action by higher authorities within and outside EPA. The following are pre-award clearances or approvals which must be obtained from other agencies and activities within EPA or if necessary, from other Government departments:

A. PRINTING

The inclusion of full scale printing within contracts is prohibited unless it is authorized by the Joint Committee on Printing of the U.S. Congress. These restrictions on printing apply to contracts which meet the following criteria:

(1) Reproduction of more than 225 copies of a single document by any method.

(2) Reproduction in any quantity by any method utilizing, as part of its process, reusable negatives and/or positives prepared with a camera requiring a dark room.

(3) Composition in preparation for printing by conventional typesetting or by any method used as a substitute for

typesetting, other than preparation of paper masters or stencils for the reproduction of 225 copies or less.

(4) Binding by any method other than simple stapling or loose leaf attachment.

B. Questionnaires - Forms

As a result of P.L. 90-620 no Federal agency shall conduct or sponsor the collections of information upon identical items, from ten or more public respondents without the prior approval and clearance of the Office of Management and Budget. If it is known that a survey will be required under a proposed contract, the initiating project office must initiate clearance action either before or at the same time the Procurement Request document is forwarded to the Contracting Officer. If an unanticipated survey develops during the contract period of performance, the contractor is prohibited from beginning the survey without OMB approval. All such clearance records must be routed from the initiating office to the EPA Management and Organization Division.

C. Contractor Use or Acquisition of Property

Equipment and/or facilities required for contract performance should normally be provided by the contractor; however, the providing of equipment and/or facilities by the Government and/or contractor acquisition at Government expense may require approval at a level above the Contracting Officer. Detailed information to support the

furnishing of Government property must be provided to the Contracting Officer by the initiating Project Office before contract negotiations. The contract cannot be awarded until the Contracting Officer obtains the required Government property approval. Contract installations of non-severable facilities on private property and at Government expense require approval at levels higher than the Contracting Officer.

D. Foreign Research Contracts

All proposed research contracts which involve research projects to be conducted in a foreign country by a foreign contractor must have clearance from the Department of State with respect to consistency with our foreign policy objectives. This clearance should be requested by the initiating Project Office prior to negotiations. All such requests to the Department of State will be processed by the EPA Office of International Affairs.

E. Equipment and Services

Major data processing system and equipment procurements must be coordinated with, and in some cases, processed by the General Services Administration. Under negotiated R&D contracts data processing equipment and services which are ancillary to the contract end items may require approval at higher levels of EPA management depending upon the magnitude of the project. Authority to purchase ADPE equipment systems or services should

be obtained from authorized representatives of the EPA Data System Branch in any event.

F. Management Consultants

EPA Order 1900 prescribes that prior to initiating action to contract for management consultant services, all program, staff, regional, and field offices must obtain approval from the Assistant Administrator for Planning and Management. The requiring office must prepare ". . . a memorandum setting forth a statement of the management problem requiring examination, indicating its nature and dimensions, and, if possible, the type, extent, and source of assistance needed in the solution of the problems." The memorandum must be transmitted to the Assistant Administrator through the Director, Management and Organization Division, Office of Administration. This Division will determine whether the requirement can be met by EPA or other Federal sources and submit recommendations to the Assistant Administrator.

G. Classified Contracts

Proposed contracts involving classified information should be coordinated with the designated Agency Security Representative to assure compliance with prescribed security regulations.

H. Ratification of Unauthorized Commitments

EPA project personnel do not have contracting authority and can not legally commit the Government to expenditure of funds. The

Government is not bound by agreements or contractual commitments made to prospective contractors by persons to whom procurement authority has not been delegated. The individual who made the unauthorized commitment shall furnish the Contracting Officer detailed documentation concerning the situation. Authority to raftify unauthorized commitments may be retained at higher management levels due to the serious nature of the actions.

I. Motion Picture Production Requirements

Procurement and production of all EPA motion pictures require the written approval of the Director, Office of Public Affairs, or his designee, even if the film is part of a scientific or technical program. The primary responsibility for obtaining approval rests with the initiating program office. However, the Contracting Officer must verify that approval has been obtained prior to soliciting offers from prospective contractors. A copy of the approval document or request for approval should be attached by the originator to the Procurement Request/Requisition when it is submitted to the Contract Operations Office for any procurement involving motion pictures.

J. Unsolicited Proposals

The unsolicited proposal is generally defined as a written offer based on a new or novel design concept or idea relating to a proposed project without prior informal or formal solicitation from a procuring agency. An unsolicited proposal is usually the product of original

thinking by the contractor presenting it and the Government is responsible for refraining from making known to third parties any proprietary information the proposal may contain, thereby encouraging prospective contractors to disclose to this Agency ideas they originate, conceive or develop, in the future. As set forth in PART II, Paragraph B, requirements initiated as the result of a true unsolicited proposal will be negotiated on a sole source basis. Any other practice would discourage proposers from disclosing to the Agency ideas of substantial value; furthermore, making proposals of this type a basis for competitive solicitation might have serious legal as well as moral implications.

In order to insure that a proposal being dealt with is truly unsolicited, the Project Officer must be fully aware of the conditions under which the proposal was developed. Upon receipt of the unsolicited proposal, the Project Officer must evaluate the proposal to assure that it is truly solicited and that there is sufficient documentation to generate a new requirement. If further clarifying information is needed for evaluation purposes, the Project Officer must coordinate his request with the contracting office. The exercise of these restraints and controls will insure that the integrity of the competitive posture for procurements within this Agency will be maintained.

The EPA Grants Management Division has been designated as the focal point for all unsolicited proposals submitted to the Agency. Any EPA office receiving an unsolicited proposal directly from a Contractor should immediately notify the Grants Management Division which will provide the proper procedure to be observed for processing the proposal.

PART VI

Explanation and Definitions

- A. TYPES OF CONTRACT REQUIREMENTS
- B. PERSONAL VERSUS NONPERSONAL SERVICES CONTRACTS
- C. TYPES OF CONTRACT COST ARRANGEMENTS
- D. ARCHITECT AND ENGINEERING CONTRACTS
- E DEFINITIONS
- F. RESPONSIBILITY CHART

- PART VI -

EXPLANATIONS AND DEFINITIONS

The following explanations and definitions are provided to give the prospective Project Officer a better understanding of negotiated contracts and associated terminology. Also included is a chart outlining functional responsibilities of the Project Officer, Contracting Officer, and other EPA activities involved in the procurement process.

A. TYPES OF CONTRACT REQUIREMENTS

Most negotiated contract requirements are for one of four general areas; services, data, material or hardware, and a combination of services, data or hardware. As previously mentioned in PART II, the type of contract work statement (or requirement) should be recognized in order for the Contracting Officer to determine the type of negotiated contract to be written. To aid the prospective Project Officer in understanding the differences, the following explanations are given:

(1) Service Contracts

This terminology is used to describe contract requirements for certain types of professional, skilled, and unskilled services to be performed over a definite time period. There is usually no deliverable end items required under the contract.

The contracts are for janitorial, maintenance, clerical, cafeteria, training or similar type services.

(2) Data Requirements Contracts

Type of contracts which call for some type of data to be delivered as an end item. This could be for research with a research report as the end item, which is normally the case on research contracts. Other type of contract requirements which fall into this category are: film production and reproduction, preparation of training manuals, or editing and publication of authorized reference material.

(3) Material or Hardware Contracts

This includes a variety of requirements from the standard catalog hardware items (normally purchased by formal advertising) to specialized equipment being developed for research and development purposes (normally handled by negotiations).

(4) Combination Requirements

It is quite possible, particularly for research and development procurement, for contracts to require services, data, and hardware. It is important for the Project Officer to recognize that he has combination requirements, so that in drafting the work statement the required services, data, and hardware can be well defined and separated for pricing and delivery purposes.

For example, a contract for an advanced test chamber would require the contractor to provide sketches, drawings, parts list, maintenance manual and perhaps conduct a one-week training program in addition to delivery and installation of the finished product.

B. PERSONAL VERSUS NON-PERSONAL SERVICES CONTRACTS

Services should not be obtained by contract in such a manner that the contractor or his employees are in effect employees of the Government. The Contracting Officer is responsible for assuring the implementation of this policy by considering specified criteria before entering into any service contract. Generally speaking, contracts which in their substantive effect result in the creation of what is tantamount to an employer-employee relationship between the contractor personnel and the Government are proscribed as violation of the personnel laws. In enforcing this policy the Contracting Officer is required to make a written determination on all contracts involving services. The Contracting Officer's determination will, to a great extent be based upon the background and scope of work provided by the Project Office.

These contract requirements are determined to consist of proposed employer-employee relationships or meet the other criteria of EPA Procurement Regulation 15-55.2 and EPA Order 1900.2 are classified as proposed Personal Service contracts.

The Civil Service Commission has ruled that, except as authorized by express statutory authority, personal services are to be obtained by appointment.

Although normally defined as personal services, service contract requirements for such services as medical, consultant, or management consultant services are expressly authorized by statute; however, these type of requirements should be thoroughly discussed between the initiating Project Office, the Contracting Office, and, if necessary, the cognizant EPA Personnel Office.

C. TYPES OF CONTRACT COST ARRANGEMENTS

The type of contract cost arrangement negotiated by the Contracting Office must be compatible with the technical requirements of the work; therefore, in determining the type of contract, the Contracting Officer will rely heavily upon information provided by the initiating Project Office. Generally, the two basic types of contract cost arrangements are the cost-reimbursement and fixed-price type contracts. The following is a discussion of these two basic types of contracts and the variations used, and a third type, the Fixed-Rate contract, which is a combination of the two basic types.

(1) Cost-Reimbursement Contracts

a. There are four basic kinds of cost reimbursement contracts which would normally be used in EPA; the cost-plus-fixed-fee

contract, the cost contract, the cost-sharing contract, and the cost-plus-incentive-fee or award fee contract.

Under each the Government is obligated to reimburse the Contractor for his actual allowable and property allocable costs, except that the cost-sharing contract provides for reimbursement of only a stated proportion of the contractor's allowable costs. Moreover, under a cost-reimbursement contract, the Contractor is reimbursed for his actual allowable costs whether or not he performs satisfactorily.

To help the EPA control work and costs, each cost-reimbursement contract contains appropriate provisions defining allowable costs. Many cost areas, however, may require special consideration in negotiation to arrive at an advance understanding of their allowability. Cost-reimbursement research and development contracts also require the contractor to notify the Contracting Officer 30 days before 85 percent of the estimated total costs will have been spent, or at any time the Contractor comes to believe that total costs will substantially differ from those estimated. This allows contracting and technical personnel to appraise the Contractor's performance and to decide whether it is wise to give him more funds to complete the project.

The major disadvantage of cost-reimbursement contracts

is that they increase the administrative burden on the EPA and the contractor. The contractor must use an accounting system which is acceptable to the cognizant Contracting Officer and which facilitiates audit of his costs. Normally, all equipment and supplies acquired under a cost-reimbursement contract are Government property and as such must be administered under procedures that are acceptable to the Government. Insurance, overtime, travel, and other administrative areas also are of more direct concern to the Government in connection with cost-reimbursement contracting than they are in fixed-price contracting. These factors plus the need for audit prior to contract close-out result in additional administrative efforts both for EPA and the Contractor.

b. Cost-Plus-Fixed-Fee. The CPFF contract is most widely used for research and for preliminary exploration and study work. It may also be used for development and testing requirements. The CPFF contract pays the contractor his actual and allowable expenditures, within the cost limiation as it may be amended from time to time, plus a fixed-fee. The Government assumes most of the cost risk, while the contractor is assured of a specific amount of fee. The CPFF contract can take one of two forms; completion or terms. The completion form normally requires the contractor to complete and deliver a specified end-product (in certain instances, a final report of research accomplishing the goal or target). If the contractor cannot complete the work within the initially

estimated cost and if the Government elects to provide more funds for completion, these additional funds are provided without increase in fee. However, if the work required by the contract schedule is changed during performance, either by change order or mutual agreement, an equitable fee adjustment is made, to take account of the increase or decrease in the work effort. Also, if the contract is allowed to expire when total estimated costs are reached without completion of all the required work, a downward fee adjustment is required to reflect the decrease in the scope of work.

When the term form of cost-reimbursement contract is used, the contractor is obligated to devote a specified level of effort for a stated period of time. The Fixed-Fee is payable upon certification by the contractor that he has exerted the specified level of effort and provided that the Government is satisfied that this is true. Renewals for additional periods with increases in effort require increases in contract fee and they are, in effect, new procurements. Also, if the level of effort of a term contract is changed during contract performance, an appropriate equitable increase or decrease in fee and estimated costs should be made.

c. Cost. The cost contract is a cost-reimbursement contract without fee. This type of contract is used principally in contracting with educational or other non-profit institutions for research and

development work. Generally, the cost research and development contract contains similar terms as a CPFF contract, except for standard modification of language to remove and exclude references to fee and, in the case of educational institutions, different principles for determining allowability of costs. Moreover, these nonprofit contracts contain simplified and shorter versions of certain contract clauses, such as the Inspection Clause and Government Property Clause.

d. Cost Sharing. The cost sharing contract provides for partial reimbursement of costs in accordance with a predetermined arrangement. It may be used for jointly sponsored research or development with educational institutions and in other cases where the profit making contractor stands to benefit substantially from performing the work (when, for example the results of the contract have commercial use).

Research and Development cost sharing contracts may take various forms. For example, the contractor may agree to a lower overhead rate than his actual costs would permit. Or he may agree to prorate all allowable costs, charging a stated percentage to the Government and absorbing the balance himself. Whatever the method of cost sharing, the basis and mechanics of reimbursement should be clearly set forth in the contract.

e. Cost-Plus-Incentive-Fee. The CPIF contract, like the CPFF contract, provides for reimbursement of the contractor's allowable costs. But the incentive fee contract establishes a fee formula that rewards the contractor for cost underrun and penalizes him for cost overruns of the target cost. A target cost, a target fee, a minimum and maximum fee, and a fee adjustment formula are set forth in the contract. The target cost is the best estimate of the cost of completing the work. If the contractor's actual costs are less than the target cost, he receives a fee larger than the target fee; if his costs are greater than the target cost, his target fee is adjusted downward.

The CPIF contract may have performance incentives in addition to the incentive for reduction in cost. A performance incentive gives the contractor an additional fee for surpassing acceptable performance requirements. The maximum fee for the selected areas of performance may be based on the maximum performance that is attainable within the confines of the contractor's technical proposal. Performance incentives may include incentives for bettering delivery schedules, as well as those tied to the technical performance of the equipment being developed.

f. Cost-Plus-Award-Fee. The CPAF contract is a form of an incentive type contract. The fee negotiated under this type of contract

consists of a base fee to which the contractor shall be entitled and an award fee, entitlement to which in whole or in part, shall be determined by the Government in accordance with evaluation criteria set forth in the contract. The basic difference between a CPIF and CPAF form of contract is that under the CPAF situation the major portion of the contractor's fee is unilaterally determined by the Government based on the contractor's performance.

The CPAF form of contract can be adopted for an R&D situation where the contract scope of work can not be defined specifically enough to completely predetermine the fee incentive provisions. The CPAF contract requires periodic evaluation of the contractor's performance and a fee determination by an objective Government official based upon recommendations of a Government Award Fee Evaluation Board.

Although the CPAF type of contract can be an excellent mechanism under certain situations, its use should be carefully considered in the view of the additional administrative time and costs associated with the fee evaluation and determination

(2) <u>Fixed-Price Contracts</u>

a. There are five basic kinds of fixed-price contracts which would normally be used in EPA. The most used and most

desirable of all types and variations is the firm-fixed-price contract. Other kinds are the fixed-price level-of-effort, the fixed-price redeterminable, the fixed-price incentives, and the fixed-price contract with escalation.

b. Firm-Fixed-Price

A firm-fixed-price (FFP) contract commits the Government to pay specified item prices or a total price at specified intervals or upon completion of the contract and based upon Govenment acceptance of the items and/or end items called for. It gives the contractor maximum incentives to reduce his costs and thus maximize his profits. It places all risks incurred in performance on the contractor, thus reducing the Government's administrative task. However, because of the indefinite nature of most research and development procurements, the difficulty of predicting accurate costs makes the use of such a contract dangerous to the contractor in the event of unexpectedly high costs, and risky for the Government should costs prove exceptionally low. On the other hand, if the R&D program is at a relatively low cost, the Contracting Officer may determine that a fixed-price contract is most appropriate due to the additional administrative costs involved under a cost-reimbursement agreement.

c. Level of Effort Type

The level-of-effort type of FFP contract could be selected for certain study and development work. The minimum level of effort

and its time period has to be specifically set forth in the contract. Any change in the level of effort constitutes a change requiring a contract modification. This type of contracting has the advantage of relieving the Government, and the contractor, of administrative responsibilities regarding Government audit of costs, insurance provisions, and of providing increasing motivation to the contractor. However, there must be clear and complete advance agreement as to the minimum level of effort required. Otherwise, questions and disputes may arise during contract performance. And, too, where the fixed-price level of effort arrangement is used, cost of any special test equipment, and other costs apart from salaries must be susceptible to reasonable advance estimates.

d. Fixed-Price Contracts with Redetermination

A fixed price contract with provisions for price redetermination permits negotiation of a firm fixed-price based on cost experience gained under the contract. Two kinds of fixed-price redeterminable contracts are authorized; (a) the retroactive price-redetermination-after-completion contract (applicable to certain R&D work) and (b) the contract that provides for prospective price redetermination at a stated time or times during performance. The latter type is designed for quantity production and service contracts that have a lengthy period of

performance, and not for research and development.

Although it is a more flexible arrangement than an FFP contract, a redeterminable contract lacks the flexibility of a cost-reimbursement contract since its ceiling price cannot be exceeded unless the scope of work is increased by Supplemental Agreement. Accordingly, redeterminable contracts should be used in preference to cost-reimbursement contracts only if the nature of the work is tangible enough to warrant a fixed-price ceiling.

e. Fixed-Price-Incentive Contract.

This type of contract, which provides for price increases based on currently established labor rates and/or basic material costs or on current list prices of standard commodities, is not designed for research and development work.

(3) Fixed-Rate Contracts

The fixed-rate contract can be used for services or items for which a fixed-price or fixed-rate can be established for the labor or for the required items but for which the quantity of labor or items cannot be determined at the time of contract negotiation. This type of contract is not usually used for research and development requirements. Predetermined rates or prices are negotiated in the form of a basic agreement between the Government and the contractor,

and the Government will request the services or items in the form of a call or order against this basic agreement.

For instance, the EPA requirements may be for specific types of clinical tests or analysis with the quantity being the unknown factor. If available past cost data can provide a basis for establishing a realistic price for each of the clinical tests, the negotiated contract will include fixed-prices for each. The Contracting Officer or his designated representative can then place orders for the tests as the need arises and at the negotiated fixed-rates. The most commonly used fixed-rate type of contract is the Time-and-Materials contract. Under a Time-and-Materials contract, the contractor promises to perform services on the basis of (a) direct labor hours at specified hourly rates, including direct labor, overhead, and profit; and (b) materials at cost. The latter may include a mutually acceptable handling charge to cover the contractor's overhead expense in regard to the material.

D. ARCHITECT AND ENGINEERING CONTRACTS

Proposed contracts for architect and engineering (A&E) services are processed in a manner exceptional to the standard negotiation process described in PARTS II and III. The initiating project office should coordinate all A&E requirements with the designated Agency A&E representative. Negotiation of A&E contracts are conducted with

selected sources without the benefits of cost competition. The sources are selected by the EPA A&E Source Selection Board. The Contracting Officer cannot negotiate contracts for A&E services for a price (or fee) in excess of 6% of the total estimated for the construction project.

E. DEFINITIONS

Advertising - The method of awarding contracts through the public opening of bids and award to the lowest responsive bidder based on detailed design or performance specifications.

Agreement, Supplemental - A modification to an existing contract which is accomplished by the mutual action of the parties. The term is synonymous with contract amendment.

Annual Appropriation - An appropriation which is available for incurring obligations only during one fiscal year specified in the appropriation act. (This would be in contrast to "no-year funds" which is common in many of EPA's research programs and can be fully obligated in the next fiscal year.)

Bid - (1) An offer submitted in response to a formally advertised invitation for bids, to buy from or furnish supplies or services to the Government under certain prescribed conditions at a stated or determined price.

(2) The act of submitting a bid.

Budget - (1) A planned program for a fiscal period in terms of (a) estimated costs, obligations and expenditure, (b) source of funds for financing, including reimbursement anticipated and other resources to be applied, and (c) explanatory and workload data the project program and activities.

(2) To prepare such a program.

Business Evaluation - A measuring of a business proposal against the expressed requirements of the solicitation and rating of the proposal accordingly.

Commerce Business Daily - A daily list of U.S. Government procurement invitations, subcontracting leads, contracts awarded, sale of surplus property and foreign business opportunities published by the Department of Commerce.

Contract - (1) An agreement, enforceable by law, between two or more competent parties, to do something not prohibited by law, for a legal consideration. (2) Any type of agreement or order for the procurement of supplies and services. It includes award and preliminary notice of award; contract of a fixed-price, cost, cost-plus-a-fixed-fee, or incentive type; contract providing for the issuance of job orders, task orders, or task letters thereunder; letter contract, letter of intent; and purchase orders. It also includes supplemental agreements and amendments with respect to any of the foregoing.

Contract Administration - The management of all facets of assigned contracts so as to assure that the contractor's total performance is in accordance with his contractual commitments and that the obligations of the contractor and the Government are fulfilled. This management is conducted within the framework of delegated responsibility and authority and includes support of buying organizations.

Contract Award - The date of execution of the contract by both parties. The date that the contractor commences work unless authorized in advance by the Contracting Officer.

Contracting Officer - The individual who is the Government's authorized agent in dealing with the contractor. This individual has authority to negotiate and award contracts on behalf of the Government and to make changes and amendments to the contract.

Contract, Negotiated - One obtained by direct agreement with a contractor, without formal advertising for bids, but after soliciting proposals from qualified sources.

Contract Negotiator - The individual who negotiates the contract.

Contract, Research and Development - A contract for experimental, developmental, and research work.

Cost Advisory Report - Contains a review of proposed contractor's offer using techniques of price and cost analysis so that the Government pays fair and reasonable prices for the required articles and/or services.

Determination and Findings - Documents required to justify the use of authority to (1) enter into contracts by negotiation, (2) determine the kind of contract, or method of contracting to be used, (3) advance payment authorization, and (4) necessity of allowing the contractor to acquire nonseverable facilities.

Education and Other Nonprofit Organizations - Means any corporation, foundation, trust, or institution operated for scientific or educational purposes not organized for profit, no part of the net earnings of which inures to the profit of any private shareholder or individual.

Federal Procurement Regulations - Regulations which apply to all Federal agencies to the extent specified in the Federal Property and Administrative Services Act of 1949, as amended, or in other law. These regulations apply to procurements made within and outside the United States to which the Federal Government is a party.

Level of Effort - When the work statement is written in broad general terms and describes the degree of effort to be expended,

within a given pending time, a level of effort can be expressed in the contract. This is an expression of the number and type of man-hours or man-months that the Government is purchasing under the contract.

Negotiation - The term when applied to the making of purchases and contracts without formal advertising. Under negotiated contracts, the lowest offeror does not necessarily receive the award since technical proposal, price, and other factors are considered in the selection of a contractor.

Negotiation Memorandum - Sets forth all of the significant details relating to the negotiated procurement action. It reflects the history of the procurement and the rationale for the judgments supporting the negotiated agreement. It further documents the basis for the decision that a particular price is fixed and reasonable.

Phasing - The dividing of the contractual effort into areas or stages of accomplishment, each of which must be completed and approved before the contractor may proceed to the next phase.

Pre-Award Survey - Investigation of a firm at the request of a contracting activity to determine its ability to perform under a proposed contract.

Prenegotiation Conference - Meeting of negotiation team prior to negotiation with the contractor in which negotiation goals are developed.

Procurement - (1) The obtaining of material, or services by purchasing, renting, leasing, or other means from sources outside the Government. (2) In the supply management sense, it may include the functions of design, standards, determination, specification writing, selection of suppliers, financing, contract management, and other related functions.

Project Officer - The individual who is responsible for the technical direction and evaluation of the contractor's performance.

Proposals - The offeror's response to a Request for Proposal.

Proposal Evaluation Criteria - Criteria against which proposals are evaluated. Offerors must be advised of the criteria, their relative importance, and approximate weight in the Request for Proposal.

Renewal - A supplemental agreement to an existing contract for continuation of work by the incumbent contractor.

Request for Proposal - (RFP) - The Government's invitation to prospective offerors to submit a proposal based on the terms and conditions set forth in the RFP.

Respondents - Offerors who submit proposals in response to a Request for Proposal.

Sources for Solicitation - The offerors to whom the Request for Proposal will be sent.

Technical Evaluation - A measuring of a technical proposal against the technical requirements expressed in the solicitation and rating of the proposal accordingly.

Unsolicited Proposal - Is a research and development proposal which is made to the Government by a prospective contractor without prior formal or informal solicitation by representatives of the Government.

Work Statement (Scope of Work - The document which states the technical objectives and requirements of the contract.

- RESPONSIBILITIES IN THE PROCUREMENT PROCESS -

	RESPONSIBLE OFFICES WITHIN EPA		
FUNCTION	PROJECT OFFICE	CONTRACTS OFFICE	OTHER OFFICES
PRE-SOLICITATION			
Advance Planning	Develops Program Plan	Advises as to procurement method	
Submission of Purchase Request	Decision to Buy		
Obtaining Sources	Recommends & Evaluates Sources	Establishes Source List	
Sole Source Determination	Prepares Justification	Final Decision	
Request for Proposal	Develops Technical Aspects	Responsible for RFP contents and release	
SOLICITATION AND EVALUATION			
Discussions with Contractor	Advisory to contracts office	Responsible for all contacts	
Technical Evaluation	Total Responsibility		
Business Evaluation		Total Responsibility	Audit-Advisory over $100 K
Selection of Competitive Range	Advisory	Final Decision	
NEGOTATIONS AND AWARD			
Negotiations with Contractor(s)	Participant	Responsible for Conduct	
Selection of Contractor	Advisory	Final Decision	
Contract Preparation and Award	Scope of Work and Other Technical Aspects	Total Responsibility	General Counsel may be advisory
CONTRACT ADMINISTRATION			
Technical Direction	Within defined limits		
Contract Changes and Extensions	Initiates to contracts office	Total Responsibility	
Monitoring Performance	Technical Performance	Cost Performance	
Patents	Advisory to General Counsel	Coordinates Requests	General Counsel prepares Agency's position
Acceptance of Final Product	Varies with Product	Varies with Product	
Payment of Vouchers	Advisory	Reviews & Certifies	Financial Management Schedules for Payme
Property Administration	Advises and Recommends	Final Decisions	Property - Records, Disposition & other services
Administrative Close-Out		Total Responsibility	Audit & General Couns Advisory

SUGGESTED CHECKLIST

FOR THE

USER'S HANDBOOK

Compiled by

Mary Lewis
Arvella Weir
Lorene Fuller

U. S. Environmental Protection Agency
Library System

June 1973

EXHIBIT E

FOCUS : LIBRARY SERVICES

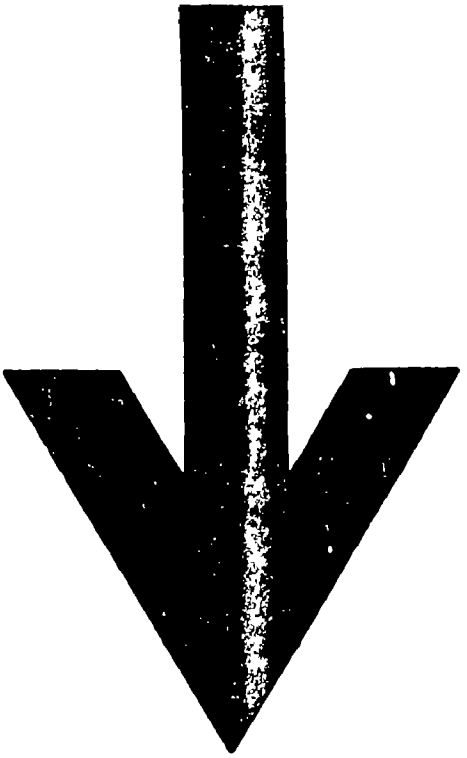
U.S. ENVIRONMENTAL PROTECTION AGENCY
ROBERT S. KERR ENVIRONMENTAL RESEARCH LABORATORY
ADA, OKLAHOMA 74820

To Our Users...

This manual is designed to "Focus" your attention on the library's programs/procedures, and the many inter-related services of the EPA Library Community.....

The Library Mission and History

June 1973



FOCUS: ROBERT S. KERR ENVIRONMENTAL RESEARCH LABORATORY

Location/Hours/Staff

Floor Plan

Procedures

Collection

Special Collections

Special Equipment

Library Location

Name
Address
Telephone Service
- *Librarian*
- *General Reference*
- *Interlibrary Loan*
- *Technical Processing*

Branch or Satellite Libraries

Library Hours

Library Staff

Floor Plan

Library Privileges/Procedures

Circulation of Library Materials
- *Loan Periods - definite & indefinite*
- *Circulating & reference materials*
- *Recall of Material*
- *Responsibility for Library Materials*
- *Qualified Users*

Acquisition Policy
- *Purchase*
- *Recommendations by Staff*

Collection

General
- *Scope of Collection*
- *Types of Material*
- *Arrangement*

Reference Collections
- *Reference Sources - encyclopedias, dictionaries, biographical reference books, handbooks, directories, bibliographies, etc.*

Collection (continued)

Literature Searching Tools
Listing of Abstracts & Indexes (An annotated list of the searching tools would be an invaluable aid to users in the laboratory libraries.)

Special Collections

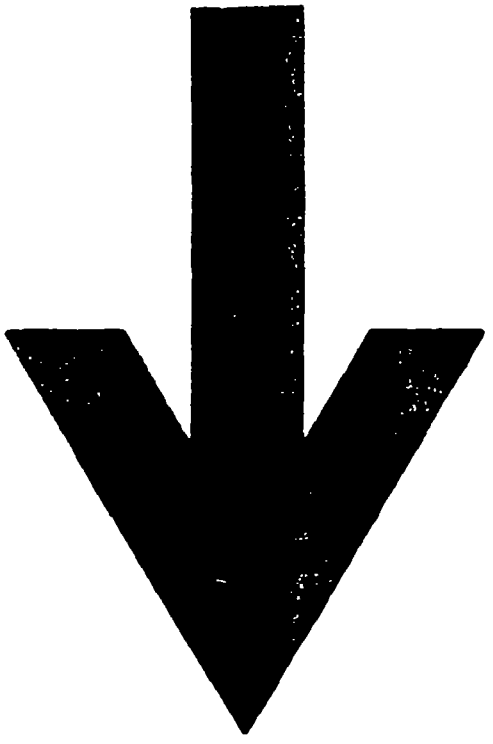
Any collection of specialized information
For Example:
- *Law Collection*
- *Extensive Reprint Collection*
- *Map Collection*
- *Technical Basic Data - e.g., River Basin Material*
- *Technical Reports*

-or-

- *College Catalogs*
- *Telephone Directories*
- *Theses & Dissertations*
- *Laboratory Training Manuals*
- *Annual Reports of Corporations*

Special Equipment & Services

Types of Machines
Microfilm, microfiche, reader-printers
Reproduction Services



FOCUS: **HOW TO USE...**

Indexes to Library Collection

Classification System

Indexing/Abstracting Services

HOW TO USE...

Indexes to Library Collection

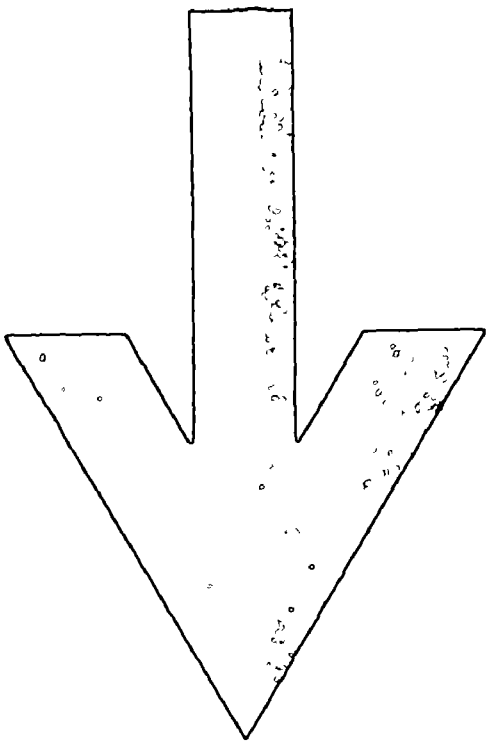
Card Catalog
- *Arrangement - dictionary/divided*
- *Types of catalog cards*
- *Parts of catalog card*

Book Catalog

Special Indexes for Materials not Listed in Card Catalog
- *For Example: Map Index*
- *Utilization of Printed Indexes, e.g., "List of Bureau of Mines Publications and Articles" "Publications of the Geological Survey"*

Classification System

Indexing/Abstracting Services



FOCUS: INFORMATION SERVICES

Reference

Literature Searches

Interlibrary Loans

Translations

Publications

Interpreting Library Service

INFORMATION SERIVCES

Reference

Quick Reference Service
Extensive Research - Investigation of many sources on a given subject within a specified period of time
Compilation of Bibliographies
Current Awareness - Routing of periodicals, tables of contents, etc.

Literature Searches

Types of Searches
- Current awareness & retrospective searches
- Data Bases - Services available through NERC, Cincinnati Library

Other Services

Interlibrary Loans

From Other Libraries--
- Types of Material excluded from Interlibrary Loans
- Bibliographic Information
- Lending Library Regulations

Translations

Sources
Processing of Translation Requests

Publications

EPA Periodic Publication Announcements
- For Example: Air, Solid Waste, Water Quality
- Library Publications & Bulletins
- Accession Lists

Interpreting Library Service

Orientation Programs for Staff
Lectures and Tours
Exhibits
Bulletin Boards

APPENDICES

Revisions
The Future
New Services Under Consideration
Other Libraries in the Area
Location of EPA Libraries(Map)

INTERAGENCY AGREEMENT BETWEEN THE ENVIRONMENTAL PROTECTION AGENCY AND THE NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION

Purpose:

This agreement provides for cooperation and the sharing of services between the Environmental Data Service, National Oceanic and Atmospheric Agency and the Library Systems Branch, U.S. Environmental Protection Agency.

Scope of Work:

Under this agreement, the EDS and the Library Systems Branch of EPA will share library programs, literature searching services, joint bibliography and other publishing programs, and sponsorship of training programs.

1) Library programs. EDS and LSB will provide each other copies of tools generated by either of the library systems. Software and files supporting library programs will be made available on an exchange basis. Joint files may or may not result from this agreement. Joint holdings lists will be issued as a result of this agreement.

EDS and LSB will jointly participate in library management programs such as the development of staff and user manuals, standard job description preparations, contracts and other arrangements for accessing of computer data bases, evaluation and cost benefit studies.

2) Literature Searching Services. EDS and LSB will provide access to their own data bases to each other; share in accessing of outside data bases as appropriate.

3) Joint Bibliographies and Publishing Programs. EDS and LSB will jointly prepare state-of-the-art and continuing bibliographies in areas of major concern to both organizations. Directories and library management tools will be jointly published as appropriate. Cost of publishing joint holdings reports will be shared, or alternated.

4) Sponsorship of Training Programs. EDS and LSB will jointly sponsor staff training programs in areas of mutual

cost of the joint projects from their operating accounts, e.g. publications funds, etc.

APPROVED:

National Oceanic and Atmospheric Agency

Thomas S. Austin

Director, Environmental Data Service

2/5/75

Date

Environmental Protection Agency

S. D. Greenstone, Acting

Deputy Assistant Administrator for Administration

1/14/75

Date

INTERAGENCY AGREEMENT
between the
U. S. ENVIRONMENTAL PROTECTION AGENCY
and the
NATIONAL TECHNICAL INFORMATION SERVICE
U. S. DEPARTMENT OF COMMERCE

1. INTRODUCTION

This document constitutes an agreement between the U. S. Environmental Protection Agency (hereinafter referred to as EPA) and the National Technical Information Service, U. S. Department of Commerce (hereinafter referred to as NTIS) setting forth the provisions for the information program to be performed by NTIS for EPA during Fiscal Year 1975.

2. SCOPE OF PROGRAM

NTIS will provide a broad-based information package, which will provide a customized information services program that will be responsive to EPA's changing requirements.

3. PRODUCTS AND SERVICES TO BE FURNISHED BASED ON DOCUMENT INPUT

a. EPA Reports Quarterly Abstract Bulletin

(1) NTIS will produce, on a quarterly basis and at no expense to EPA, a papercopy subscription journal containing citations of all reports sponsored or contracted by EPA that were accessioned by NTIS during the preceding quarter. Also included will be joint-sponsored reports, even when EPA is not the primary sponsor. The first issue of this subscription will contain input from EPA for the months of January through March, 1975.

(2) In order to provide continuous announcement of EPA material, NTIS will publish a second *EPA Reports Bibliography Supplement* containing EPA input from January, 1974 (the cutoff date for the first *EPA Reports Bibliography Supplement*) to December 31, 1974. In addition, this second supplement will contain any old reports which can be identified in the NTIS data base but which were not published in the first supplement. EPA will purchase, at a discounted price to be negotiated, an estimated 260 copies of this supplement, the cost of which will be deducted from the EPA Headquarters deposit account. EPA will provide names and addresses of recipients in order that NTIS may distribute the documents.

(3) The EPA Library System will require a subscription for 100 copies to the quarterly abstracts bulletin for internal distribution; the EPA Libraries and the Foreign Exchange program will require 160 subscriptions (two for each of 80 addresses, which will be provided by EPA). Costs for these subscriptions will be charged to the EPA Headquarters deposit account number 77912-4. NTIS will distribute these bulletins under its own mailing labels. The fee for postage is included in the price of the subscriptions.

b. Selective Research in Microfiche (SRIM) Distribution

A total of 75 microfiche subscriptions will be provided, using the NTIS Selective Research in Microfiche (SRIM) distribution system, to the designated recipients in the EPA Library System and in the Foreign Exchange Program. EPA will designate whether its subscribers will receive only EPA-sponsored material ("EPA Only"category) or EPA-sponsored reports plus all other environmental reports announced in the NTIS WGA Category 68, *Environmental Pollution and Control* ("All of Category 68" designation). Costs for this microfiche will be charged to the deposit accounts of the individual recipients or to the EPA Headquarters deposit account, as designated by EPA.

c. Computer Tape of EPA Reports Quarterly Abstracts Bulletin Material

NTIS will supply the EPA Library Systems Branch with a computer tape containing bibliographic citations of all individual items listed in the second *EPA Reports Bibliography Supplement* and in the *EPA Quarterly Abstracts Bulletin*. This tape will be in the NTIS GRA sales tape format and may be marketed and sold by NTIS under its computer products program.

d. Subscriptions to WGA Category 68, *Environmental Pollution and Control*

(1) The EPA Library System will receive 80 subscriptions to NTIS' Weekly Government Abstracts Category 68, *Environmental Pollution and Control*. EPA will provide names and addresses of these recipients, which will include EPA Libraries and Foreign Exchange Program participants.

(2) EPA recipients who currently have subscriptions to WGA Category 68 and who will be covered under this program by EPA will be instructed by EPA to allow their current subscriptions to expire. All new and renewal subscriptions to WGA Category 68 covered under this agreement will be entered by NTIS in such a way that they will all expire at the end of December, 1975. The cost of these subscriptions will be charged to the EPA Headquarters deposit account number 77912-4. As of January

1976, the individual recipients will be responsible for the cost of their subscriptions through their respective deposit accounts.

e. EPA Translation Bulletin

(1) EPA will furnish NTIS with print masters for a monthly environmental translation bulletin covering EPA translations and others which can be identified as having interest to the environmental community. EPA will obtain the necessary OMB clearances for this bulletin. NTIS will print the bulletin and will market and sell the product as an NTIS subscription item.

(2) EPA will purchase an estimated 50 subscriptions at a discounted rate, including cost for postage, and will supply NTIS with recipients' names and addresses in order that NTIS may distribute the bulletins. The cost of the subscriptions will be charged to the EPA Headquarters deposit account number 77912-4.

(3) The EPA Library System will input those translated documents, that are announced in the translation bulletin as available from NTIS, into the NTIS system and will indicate in the Supplementary Notes section of the NTIS Form #35 (ANSI Report Documentation Page) that EPA has sponsored the input of this material. These documents will be submitted with completed NTIS Forms #35 and #79, as is all material submitted to NTIS for accessioning. Translations submitted for processing will be subject to NTIS publication and reproduction requirements and will be free of copyright restrictions, or an appropriate copyright modification will be added by EPA below the copyright statement in the document itself.

(4) In order that those translations announced in the bulletin as available from NTIS may be processed, priced and numbered in a timely manner to facilitate the preparation of print masters for the bulletin by EPA, NTIS will work with EPA to develop mutually satisfactory processing procedures for these translations.

f. EPA's *Summaries of Foreign Government Environmental Reports* Bulletin

(1) The EPA Office of International Activities will provide NTIS with print masters of its monthly *Summaries of Foreign Government Environmental Reports* bulletin to print and sell on a subscription basis. EPA will purchase, at a discounted rate, an estimated 525 subscriptions, which NTIS will distribute according to names and addresses provided by EPA. The cost of the subscriptions will be charged to the EPA Headquarters deposit account.

(2) To the extent that is practicable, EPA will provide an input processing copy of as many as possible of the actual reports listed in the *Summaries* for entry into the NTIS system. These reports will be provided through the SRIM distribution system to EPA subscribers in both EPA-designated SRIM categories, thereby assuring that all EPA SRIM subscribers, including the United Nations Environmental Program Libraries, will receive them through their SRIM distributions. Copyrighted material will be handled as stated on Page 3, paragraph 3,e,(3).

g. Foreign Reports Not Included in *Summaries* Bulletin

Foreign reports not included in the EPA *Summaries* bulletin will be furnished NTIS by the EPA Library System for input processing. The reports may not be translated from the original language, but they will be submitted with the standard NTIS Forms #35 and #79 in English. As with the *Summaries* material, these reports will show EPA in the Supplementary Notes area of the NTIS Form #35 as the sponsoring agency in order to assure their inclusion in both EPA-designated SRIM categories. Copyrighted material will be handled as stated on Page 3, paragraph 3,e,(3).

h. Computer Tape of Translated and Foreign Items

NTIS will provide the EPA Library Systems Branch with a computer tape containing bibliographic citations of all individual translated and foreign items that are actually submitted to NTIS by EPA. This computer tape product may be marketed and sold by NTIS under its computer products program.

4. OTHER SERVICES TO BE PROVIDED

a. Announcement of EPA Material

A number of information and marketing programs may be utilized by NTIS to provide regular and ongoing visibility to EPA documents under NTIS bibliographic control. These programs consist of inclusion and listing in NTIS' varied current awareness publications, computer search files, and promotion programs, including the following:

Weekly Government Abstracts (selected material)
Government Reports Announcements
and Government Reports Index
Government Reports Annual Index
Direct Mail Promotion
Selected Research in Microfiche (SRIM)
Selected Research in Microfiche by Profiles
Professional Journals

Trade List Promotion
NTISearch Program
Selected Bibliographies
Bibliographic Data Leasing Program

b. Technical Training Sessions

NTIS will conduct training sessions, on a mutually agreeable basis, to provide technical assistance to EPA's document processing personnel in order to facilitate the efficient handling of the information products covered by this agreement.

c. Document Processing Requirements

The EPA Fiscal Year 1975 document input processing requirements are set forth in Amendment Number 1 to ongoing agreement number EPA-IAG-D4-0396 (NTIS Interagency Agreement number IA 74-023). All EPA input processing charges will be covered by this Amendment Number 1.

5. STATE AND LOCAL GOVERNMENT PROGRAM

EPA will work with and encourage the state and local governments to develop a document interchange program which would provide exposure of their technical information on a Federal level and would give them greater access to research that has been accomplished on the Federal level. This information exchange would be particularly encouraged in the subject areas of environmental protection, energy, transportation and urban technology.

6. COMPUTER TERMINAL REQUIREMENTS

NTIS will provide EPA with an access privilege to search the NTIS bibliographic data files, accessible through a contractual agreement between NTIS and the organization currently utilized by NTIS for search purposes. Time will be provided to EPA for search and retrieval of the NTIS bibliographic data files, as specified in Attachment 1 to this agreement, *Technical Specifications for EPA's Terminal Requirements*.

7. DURATION OF AGREEMENT

This agreement will be retroactive to July 1, 1974, and is a continuing agreement subject to renegotiation or termination upon a 60-day written request by either party. Specific work specifications and funding information will be handled through an amendment each fiscal year.

8. CHARGES

The estimated cost for the EPA Fiscal Year 1975 program, as set forth in this agreement, is $61,268. Unit costs and estimated charges for specific workloads are listed in Attachment 2 to this agreement, *Cost Estimate for EPA Fiscal Year 1975 Program.* NTIS reserves the right to adjust its unit costs for the services provided pending a periodic six-month review of its operational costs. Charges for the fulfillment of this program will be made to the EPA Headquarters deposit account number 77912-4. EPA will maintain sufficient funding in this account at all times to cover program charges, plus any additional purchases of products or services not contained in this agreement. Routine monthly deposit account statements will show actual program charges made to the account.

9. PROJECT OFFICERS

The representatives named below will serve in a liaison capacity to facilitate operations between the participating organizations.

NTIS	EPA
Administrative	Administrative
Mrs. Eloise T. Collins Chief, Office of Agreements Telephone: (703) 321-7020	Ms. Sarah M. Thomas Chief, Library Systems Branch Management and Organization Division, Room 2903 Telephone: (202) 755-0353
Technical	
Mr. James R. Jennings Office of the Special Assistants Telephone: (703) 451-3836	
National Technical Information Service 5285 Port Royal Road Springfield, Virginia 22161	U. S. Environmental Protection Agency 401 M Street, S. W. Washington, D. C. 20460

10. AUTHORITY

This agreement is entered into under the terms of NTIS enabling legislation, 15 U. S. Code 1151-1157 and 1525-1527, and the Economy Act, 31 U. S. Code 686.

11. AUTHORIZED SIGNATURES

This Interagency Agreement is executed by the duly-authorized parties whose signatures are affixed below:

National Technical Information Service

U. S. Environmental Protection Agency

Attachment 1

TECHNICAL SPECIFICATIONS FOR EPA'S TERMINAL REQUIREMENTS

1. NTIS Responsibilities

   a. Terminal service will be provided on an "as needed" basis as determined by EPA. For each hour of operation, NTIS will bill EPA a fixed charge of $35.00 per hour. Fractional portions of an hour will be payable on a prorated basis.

   b. If desired by EPA, NTIS will provide a training program in the Washington, D. C. area demonstrating techniques required for operation of the terminal system at a charge of $45.00 per hour (includes instructor and terminal equipment).

2. EPA Responsibilities

   a. The EPA will furnish NTIS with a list of days in the week and hours preferred for terminal query time to facilitate scheduling.

   b. The EPA will be responsible for any equipment installed on the EPA site and exercise reasonable care in operation and storage.

   c. The EPA will be responsible for developing search techniques, including search questions, defining terms and keywords, for use in search data files and interrogating the data files.

3. Financial Responsibilities

   a. The hourly fee for access to the NTIS file is $35.00 per hour, plus equipment base charges. Land line charges are included in the $35.00 per hour fee for access from the Washington metropolitan area.

   b. Off-line printing will be charged at $0.08 per item (citation and/or abstract).

   c. Equipment lease fees and terminal usage will be charged on a monthly basis through the NTIS deposit account system. Statements will be issued monthly on equipment and usage rates. If necessary, usage information may be provided semimonthly.

   d. The projected annual fund requirement is $61,000.00.

   e. Funds will or may be advanced in amount and frequency required for the maintenance of the deposit account.

Accounting Data

Attachment 2

COST ESTIMATE FOR EPA FISCAL YEAR 1975 PROGRAM

The following estimate of costs is based on the specifications set forth in Paragraph 3 of this agreement entitled *Products and Services to be Furnished Based on Document Input*. The total program will be funded from the EPA Headquarters Deposit Account No. 77912-4.

3,a: EPA Reports Quarterly Abstract Bulletin

Purchase of 260 subscriptions:	$15,600
Purchase of 260 copies of the second *EPA Reports Bibliography Supplement* at an estimated unit cost of $6.00 per copy:	1,560

3,b: Selective Research in Microfiche (SRIM) Distribution

There will be 52 subscriptions (51 "EPA Only" and one "All of Category 68) funded from the Headquarters deposit account (the remaining 23 subscriptions will be deducted from the individual recipients' deposit accounts).

1,000 EPA reports x 51 subscriptions x the negotiated price of $.31 per title:	15,810
5,800 titles (WGA Category 68) x 1 subscription x the negotiated price of $.31 per title:	1,798

3,c: Computer Tape of EPA Reports Quarterly Abstracts Bulletin Material: 2,000

3,d: Subscriptions to WGA Category 68, *Environmental Pollution and Control*

50 subscriptions for Foreign Exchange Program
30 subscriptions for Library Systems Branch
80 total number of subscriptions @ $30 each: 2,400

3,e: EPA Translation Bulletin

Purchase of an estimated 50 subscriptions: 2,250

3,f: EPA's *Summaries of Foreign Government Environmental Reports Bulletin*

Purchase of an estimated 525 subscriptions at the

3,h: Computer Tape of Translated and Foreign Items: $ 2,000

The following estimate is based on Paragraph 6 of this agreement, the technical specifications for which are covered in Attachment 1.

6. Computer Terminal Requirements

Estimated usage: 285 hours x $35.00 per hour: 9,975

TOTAL ESTIMATED COST FOR FY 1975 PROGRAM: $61,268

NOTE: Pending development of individual program specifications in some areas, some items do not contain unit costs. As these specifications are developed, public selling prices and EPA negotiated discount prices will be determined.

NATIONAL TECHNICAL INFORMATION SERVICE AMENDMENT NO. 1 TO ONGOING AGREEMENT IA-74-023 *
*(EPA-IAG-D5-0396)
COVERING DOCUMENT PROCESSING AND ANNOUNCEMENT SERVICES FOR FISCAL YEAR 1975

ADMINISTRATIVE TERMS AND SIGNATORIES

ARTICLE I: Source Client--U. S. Environmental Protection Agency

Designated Source Code--EPA followed by a 3-digit Agency acronym to be designated by NTIS

ARTICLE II: Estimated Workload--1,000 documents

ARTICLE III: Funding Information--
Unit Cost--$35.00 per document
Estimated Funding--$35,000.00
Advance or Reimbursable--Advance funding
Appropriation No.--
Account No.--
Address of Office to be Billed--

; Object No.--2570
Document Control C00132

.
.
.
.

ARTICLE IV: Time Period of Amendment to Agreement--This Amendment No. 1 covers period of July 1, 1974 to June 30, 1975, and will continue as an ongoing program.

ARTICLE V: Termination of Amended Agreement--This amended agreement may be renegotiated or terminated upon a 60-day written request by either party.

ARTICLE VI: Source Client Liaison--

Ms. Sarah M. Thomas, Chief
Library Systems Branch
Management and Organization Division
U.S. Environmental Protection Agency
Washington, D.C. 20460
(202) 755-0353

ARTICLE VII: Authority--This Amendment No. 1 to Agreement No. IA-74-023 is entered into under the terms of NTIS enabling legislation, 15 U.S. Code 1151-1157 and 1525-1527, and the Economy Act, 31 U.S. Code 686.

ARTICLE VIII: This amendment is executed by the duly authorized parties whose signatures are affixed below.

Joseph E. Coyne
National Technical Information Service

Mar 15, 1974
Date

Thomas M. Mason
U.S. Environmental Protection Agency

3/7/75
Date

SOURCE CLIENT TECHNICAL SPECIFICATIONS FOR PROCESSING DOCUMENTS THROUGH THE NATIONAL TECHNICAL INFORMATION SERVICE SYSTEM

1. Document Processing

The Source Client will provide NTIS with its publications annually which will be processed into the NTIS information system for announcement and sale. This includes cataloging, indexing, abstract review and creation of a tape record of the bibliographic information.. These services will enable NTIS to announce the availability of paper copy and microfiche copy of the Source Client reports through its various announcement media. Bibliographic data describing the Source Client reports will be stored for on-line bibliographic search purposes. Microfiche masters of each report will be prepared for reproduction of microfiche duplicates. Paper copy and microfiche copy will be available for sale.

2. Document Submission

a. The Source Client documents will be submitted containing a completed ANSI Report Documentation Page (NTIS Form #35 or similar form) and will be accompanied by one or more Accession Notice Cards (NTIS Form #79) (samples of both forms enclosed). The Source Client will endeavor to prevent duplicate shipments of documents to NTIS, from any source, by attaching Accession Notice Cards addressed to other offices likely to send the same titles to NTIS. The NTIS Forms #79 will be annotated by the contributor as follows:

   Block #4: NTIS designated Source Client Code
   Block #9: Quantity of stock sent to NTIS

b. The Source Client's name and address will be typed on the reverse side of the NTIS Forms #79. Documents will be addressed to: National Technical Information Service
   ATTN: Input Branch (plus Source Client Code)
   5285 Port Royal Road
   Springfield, Virginia 22161

c. Documents submitted for processing will be subject to NTIS publication and reproduction requirements. Translations made from texts published in any country that is signatory to the Geneva Copyright Convention must contain a signed statement in block 18 of NTIS Form #35 to the effect that: 1). Original text is not copyrighted, or 2). Copyright holder has authorized NTIS to reproduce and sell copies of translation(s). If NTIS has been so authorized, a copy of the copyright release will be furnished to NTIS for case file purposes. The Source Client will furnish NTIS with five to twenty-five copies of each document/report to be registered whenever possible.

d. Documents forwarded when known not to be reproducible by NTIS standards should contain a disclaimer notice for each document. The disclaimer will list the office where user may write for information on the illegible portion of copy. (NOTE: Inclusion of a disclaimer in a document does not mean that the document will be automatically processed in view of the disclaimer).

3. Pricing

NTIS will price the documents announced for public sale under this agreement in accordance with its pricing policy as stated in the Federal Register, October 31, 1974, or superseding announcements. To permit NTIS to maintain the lowest possible price schedules, the Source Client will refer requests for reports to NTIS and avoid secondary distribution of free copies to the public.

4. Marketing

A number of information and marketing programs may be utilized by the NTIS to provide regular and ongoing visibility to the Source Client documents under NTIS bibliographic control. These programs consist of inclusion and listing in NTIS' varied current awareness publications, computer search files, and promotion programs, including the following:

Weekly Government Abstracts and Weekly Government Abstracts Index
Government Reports Announcements
  and Government Reports Index
Government Reports Annual Index
Direct Mail Promotion
Selected Research in Microfiche (SRIM)
Selected Research in Microfiche by Profiles
Professional Journals
Trade List Promotion
NTISearch Program: Published Searches and/or
  On-Line Searches
Selected Bibliographies
Bibliographic Data Leasing Program

5. Financial Procedures

a. The unit cost for processing reports into the NTIS information system is covered on page one, "Administrative Specifications". This listing charge includes announcement, selective promotion, perpetual retrievability and maintenance in the NTIS information collection, cataloging, indexing, abstract review, tape service, and master microfiche, and includes the activities described in the

marketing section. NTIS reserves the right to adjust the unit cost for these services pending a periodic six-month review of its operational cost.

b. The Source Client will advance total funding of the program at the beginning of each fiscal year, and NTIS will charge against this advance for the full document processing and announcement cost. NTIS will provide the Source Client with a quarterly accounting statement of documents accessioned into the NTIS information system with a running balance of funds. Future workloads will be determined by the Source Client at the beginning of each fiscal year; the funding will then be computed based on the NTIS current unit cost for document processing and will be advanced to NTIS accordingly.

- Liaison Personnel and Organization Addresses

The representatives named below and on page one, Article VII, will serve in a liaison capacity to facilitate communication and operations between the participating organizations.

Administrative	Technical
Mrs. Eloise T. Collins Chief, Office of Agreements (703) 321-7620	Mr. John H. Ashley Chief, Input Branch (703) 321-8517 321-8517

Address

National Technical Information Service
U. S. Department of Commerce
5285 Port Royal Road
Springfield, Virginia 22161

Road
8-755-0353
202

INTERAGENCY AGREEMENT
BETWEEN THE
ENVIRONMENTAL PROTECTION AGENCY
AND THE
U.S. DEPARTMENT OF STATE

Purpose

This agreement provides for the Environmental Protection Agency (EPA) to use services provided by the U.S. Department of State, Division of Language Services.

Description of Services

The Language Services Division agrees to provide translating services to the Environmental Protection Agency on a reimbursable basis as follows:

1. Language Services Division staff and/or contractual personnel will be assigned to work requested by the Environmental Protection Agency to the extent that such personnel are available for assignment.

2. Language Services Division staff personnel will perform those administrative functions relating to contracts translators assigned to work requested by the Environmental Protection Agency.

The Environmental Protection Agency agrees to provide the Language Services Division with:

1. The fiscal year dollar level of funded anticipated requirements by July 20, 1974, and any change thereto resulting from program changes or funding availability.

2. Advance notice of anticipated service requirements.

3. Memoranda or other document requesting services. This document will cite this agreement and be signed by the EPA Project Officer. Such documents received after June 20, 1975, will be applied against upcoming fiscal year agreement.

Duration of Agreement

This agreement will become effective immediately upon execution, and remain in effect until terminated by mutual consent on or before June 30, 1975.

The terms of this agreement may be amended by mutual agreement.

Project Officers

The EPA project officers are:

For translating services

Ms. Sarah M. Thomas
Chief, Library Systems Branch
Management and Organization Division (PM-213)
Environmental Protection Agency
Washington, D. C. 20460

Ms. Chandlee Murphy
Translations Services Section
Environmental Protection Agency
Yorktown Office Mall
Research Triangle Park, N. C. 27711

Only authorized persons above may request or approve translating services.

Office providing services

Division of Language Services
Room 2214
U.S. Department of State
2201 C Street, N.W.
Washington, D. C. 20520

Contact point: Mrs. Nora Legins
632-1528

Financial Provisions

Reimbursement to the Department of State for services provided by the Language Services Division will be at the rates used for reimbursement from all agencies requesting language services. These rates are subject to adjustment concurrently with Federal Pay Adjustments and/or contractual negotiations.

The Department of State will bill the Environmental Protection Agency on SF-1080 on a twice yearly basis. The initial billing at mid-year will cover 50 percent of the annual estimate. The final billing, in June, for the balance due, will be addressed to the following EPA office:

Environmental Protection Agency
Division of Financial Management
Accounting Operations Branch
401 M Street S.W., PM-226
Washington, D. C. 20460

The amount to be reimbursed under this agreement will not exceed $5000. Requests for reimbursement will cite the following EPA Accounting Data: Appropriation 6850105 Commitment C00062 Account 521217C990 Object Class 25.70

Authorization

This agreement is established pursuant to the authority of the Economy Act of 1932, as amended (31 U.S.C. 686).

APPROVED:

Howard M. Messner
Deputy Assistant Administrator
for Administration

Oct. 3 1974
Date

Chief
Language Services Division

Nov. 8, 1974
Date

2265.3

FIELD LIBRARY GUIDELINES

MAY 1975

HUD STAFF

A HUD HANDBOOK

ADMINISTRATION

U. S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
WASHINGTON, D. C. 20410

ASL:DISTRIBUTION: W-1, W-2, W-3, W-3-1, W-4, R-1, R-2, R-3,
R-3-2, R-4, R-4-1, R-4-2, R-5, R-5-1, R-5-2, 018

FOREWORD

This Handbook presents minimum policy and procedure guidelines for the establishment, maintenance, and development of Regional, Area and Insuring Office library facilities. Budgetary and staffing limitations may constrain the capability of a given office to meet these minimum guidelines from time to time. Nevertheless, every effort should be made to provide adequate staff on a collateral or part-time basis when permanent full-time staff is not available for the effective performance of the library functions set forth in this Handbook.

It is designed primarily for the Regional, Area and Insuring Office personnel, a diverse group with varying knowledge and experience in library policies, skills, and techniques. Additional guides to organizing and managing a library facility, especially for non-professional employees, are in Chapter 12, Library Organizational Guides: A Selected Bibliography.

The relationship between the headquarters HUD Library Division and the field is delineated.

Libraries were established in HUD field offices in response to staff needs for documentation and technical information to support and develop Departmental programs.

A library is herein defined as a place set apart for an organized collection of recorded informational material in different formats maintained and developed by a qualified individual to meet user needs.

Except where noted, all procedures described are those used in the Headquarters Library. These procedures are examples only and may be modified or adapted to meet the needs of an individual field library.

This Handbook supersedes and cancels the Housing and Home Finance Agency's "Initiating and Operating Procedures for Regional Office Book and Periodical Collections", April 1962.

It supplements Handbook 2265.2, Library and Program Information Services, September 1971.

TABLE OF CONTENTS

Paragraph		Page
	FOREWORD	
	CHAPTER 1. GENERAL	
1.	Regional Library Mission and Functions	1
2.	Staff Functions and Qualifications	2
3.	Regional Library Organization	2
4.	Area Library Staffing	2
5.	Area Staff Responsibilities	2
6.	Regional Staff Responsibilities	3
7.	Insuring Office Collections	3
8.	Role of the Headquarters Library	3
9.	Budget Considerations	4
10.	Annual Budget Factors	4
	CHAPTER 2. PHYSICAL PLANNING	
11.	Location	7
12.	Size	7
13.	Planning the Physical Layout	7
14.	Furniture and Equipment	9
	CHAPTER 3. THE COLLECTIONS	
15.	Scope	13
16.	Core Collections	13
17.	Selection Guides	13
18.	Size	13
19.	Organization	13
20.	Consolidation	14
21.	Maintenance	14
	CHAPTER 4. ACQUISITION OF MATERIALS	
22.	Acquisition Process	15
23.	Selection Sources	15
24.	Verification	15
25.	Approval	17
26.	Purchased Materials	17
27.	Special Accounts	21
28.	Book Order Records	21
29.	Free Materials	22
30.	Gifts and Exchange	22
31.	Periodicals	25
32.	Renewals	25

Paragraph		Page
33.	Confirming Orders	30
34.	Prepayment	30
35.	Imprest Funds	30
36.	Financial Records	30
37.	Initial Processing Procedures	30
	CHAPTER 5. TECHNICAL ORGANIZATION OF MATERIALS	
38.	Cataloging and Classification	37
39.	Classification	37
40.	Cataloging	42
41.	Preparation of Catalog Cards	46
42.	Catalog Card Filing	49
43.	Charge Cards, Book pockets and Book Labels	49
44.	Periodical Organization and Control	49
45.	Organization and Control of Legal Materials	60
46.	Organization and Control of Comprehensive Planning Reports	60
47.	Organization and Control of Microforms	62
	CHAPTER 6. PHYSICAL ORGANIZATION OF MATERIALS	
48.	General Book Collection	65
49.	Periodicals	66
50.	Legal Materials	66
51.	Comprehensive Planning Reports	67
52.	Other Materials	67
	CHAPTER 7. REFERENCE SERVICE	
53.	Requirements	69
54.	Scope	69
55.	Technique	69
56.	Information Sources	69
57.	Legal Research	70
	CHAPTER 8. CIRCULATION	
58.	Circulation Procedures	71
59.	Loan Period	71
60.	Overdue Material	71
61.	Reserve Material	71
62.	Indefinite Loan	71
63.	Interlibrary Loans	71

Paragraph		Page
	CHAPTER 9. INFORMATION DISSEMINATION	
64.	Additional Information Sources	77
	CHAPTER 10. FREEDOM OF INFORMATION	
65.	Regulations	83
66.	Circular 1610.10A	83
67.	Requests or Complaints	83
	CHAPTER 11. STATISTICS	
68.	Purpose	85
69.	Frequency	85
	CHAPTER 12. LIBRARY ORGANIZATIONAL GUIDES: A SELECTED BIBLIOGRAPHY	
70.	General	87
71.	Physical Planning	87
72.	Acquisition of Materials	88
73.	Cataloging and Classification	89
74.	Reference	90
75.	Statistics	90

CHAPTER 1. GENERAL

1. REGIONAL LIBRARY MISSION AND FUNCTIONS. A Regional Library should provide full documentation and technical information services to support the Departmental programs. The Regional Librarian is responsible for accomplishing this mission by:

   a. Providing full range of library services to Regional personnel and outside clientele;

   b. Using information resources to assist Regional and Area/Insuring Office personnel in the execution of their duties;

   c. Maintaining and developing regionally comprehensive collections on housing, community development, and related subjects;

   d. Assisting and having technical direction for the establishment, maintenance, and development of Area and Insuring office libraries;

   e. Managing the libraries by applying general guidelines provided by the Headquarters Library, whenever suitable and feasible;

   f. Controling and developing library procedures and establishing the professional policy and programs;

   g. Planning and introducing the most effective system (economic and otherwise) for all Regional library operations and processes;

   h. Coordinating library activities and providing programs, assistance, technical guidance and support to achieve maximum productivity and utilization of the collection;

   i. Providing linkage between the Regional Library, Headquarters Library, and Area/Insuring Office libraries;

   j. Evaluating the performance of the Area and Insuring Office libraries through regular field visits, to determine policies and directions for their development;

   k. Assisting in the selection and recommendation of candidates for library positions within the Regional library network;

   l. Preparing budget for Regional library network;

   m. Serving as depository for HUD publications, HUD supported technical reports, and planning studies covering the Region;

n. Representing the Region on technical information system matters and documentation with outside libraries, agencies, and the public;

o. Serving as principal advisor on library matters to the Regional Administrator and his staff;

p. Assisting and advising communities, civic groups, universities, professional organizations, private firms, and other outside concerned groups on library resources, techniques, new developments, and research in the field;

q. Making the library facilities available to Federal, state, and local officials, other government libraries, scholars, legislators, practitioners, researchers, business and academic communities, citizens associations and other groups interested in housing and related topics;

r. Participating in professional meetings and training programs such as the Federal Interagency Field Librarians' Workshop to keep abreast of new developments in library services.

2. STAFF FUNCTIONS AND QUALIFICATIONS. It is recommended that the Headquarters Library and the Civil Service Commission be consulted for information on library staff functions and qualifications.

3. REGIONAL LIBRARY ORGANIZATION. The Regional Library is under the general direction of the Regional Director, General Services Division, Assistant Regional Administrator for Administration. It receives general guidance and assistance where needed from the Headquarters Library Division. The Regional Librarian is responsible for the maintenance of the Regional Library and technical direction of Area and Insuring Office collections within the Regional jurisdiction.

4. AREA LIBRARY STAFFING. When the Area Offices were established, each was provided with core legal and reference collections. These collections have been maintained, in many instances, by a clerk or legal secretary.

The growth of Area Office responsibility and staff, following the decentralization of more HUD activities, created a need for more vital and comprehensive Area library facilities. Some Areas have begun to respond to the increased need by hiring professional librarians or library technicians.

5. AREA STAFF RESPONSIBILITIES. Although the Area librarian or technician is under the general technical direction of the Regional Librarian, he must be able to function independently.

The Regional Librarian should delegate as much authority as possible to the Area librarian or technician. The latter's primary duty is assessing the information requirements of Area personnel, then ordering, processing, and maintaining the material to meet these requirements.

6. REGIONAL STAFF RESPONSIBILITIES. The Regional Librarian will provide technical assistance to library facilities in the Region for which he is responsible and remain in frequent communication with the staff. The Area libraries/collections should be visited on a regular basis. This is done to insure a coordinated Regiona, Area and where needed, Insuring Office library and information network.

7. INSURING OFFICE COLLECTIONS. Some Insuring Offices may require a small reference and general collection pending the establishment of a permanent library facility. The Regional Librarian should supplement this collection with loaned materials when necessary.

8. ROLE OF THE HEADQUARTERS LIBRARY. The Headquarters Library Division

a. Provides general policy and procedure guidelines for the establishment, development and maintenance of HUD Regional libraries, Area Office collections, and where needed, Insuring Office collections;

b. Assists by providing information on staffing patterns, qualifications and personnel selection;

c. Renders technical assistance in all facets of library operation, including personnel orientation and development, physical planning, specialized furniture and equipment requirements, book selection and procurement, cataloging, reference, and bibliography;

d. Gives special assistance to newly established libraries and those lacking full-time or professional library staff;

e. Provides support and technical guidance where needed in any aspect of the operations via Headquarters staff visits to Regional and Area Office libraries;

f. Evaluates the effectiveness of the Regional library network and makes recommendations to responsible Regional staff;

g. Orients field librarians, especially when newly appointed, in Headquarters Library facility;

h. Assists in planning the annual Federal Interagency Field

Librarians' Workshop which all HUD field library personnel should attend;

i. Plans the Basic Library Skills Workshop for non-professional field library personnel held at the HUD East or West Training Centers;

j. Augments the collections of each Regional Library through the purchase of a selected number of significant books in the fields of housing and community development;

k. Distributes duplicate Headquarters materials, particularly to newly established libraries. A sample catalog card accompanies each purchased item, and in most instances, duplicate material as well;

l. Provides indexes and guides to the community development literature via its periodically published series "Housing and Planning References", "Book Review", special bibliographies, and the "Dictionary Catalog of the U.S. Department of Housing and Urban Development Library and Information Division" in nineteen volumes with two supplements. (The last item is available in Regional Libraries only.)

m. Assigns one librarian as Library Regional Liaison between Headquarters and its field libraries. In addition to the many services provided by all sections of the Headquarters Library, this person is assigned nearly full-time to field library concerns, assisting or representing them in various activities.

9. BUDGET CONSIDERATIONS. The initial costs to be considered in establishing a library, exclusive of salaries, include purchase of a basic collection of legal materials, books, and periodicals and equipment. Price information on basic law and general books as well as periodicals may be found by consulting the sources listed in Chapter 4, Aquisition of Material.

10. ANNUAL BUDGET FACTORS. When estimating future budget requirements, allow for price increases for books, subscriptions, equipment, and library supplies, since costs are continually rising. The following are some of the key factors to be considered in yearly budget planning:

a. Acquisition of new legal materials, books, periodicals, microforms, etc.

b. Maintenance of all library materials (including subscriptions, revisions and updating services)

c. Binding and repair

d. Equipment

e. Travel expenses, including official travel to the Headquarters Library for orientation and training, to professional meetings and training workshops such as the Basic Library Skills Workshop and the Federal Interagency Field Librarians' Workshop, to learn fundamental library procedures and keep abreast of new developments in library services, and reciprocal visits between the Regional Librarian and Area and Insuring Office library personnel for training, evaluation, and support purposes.

CHAPTER 2. PHYSICAL PLANNING

11. LOCATION. Experience has shown the location of the library must be chosen carefully. An attractive, convenient space promotes user interest and stimulates regular use of the library. The selection of an unattractive, out of the way spot adversely affects library service. It is desirable to select an area near the legal staff as they need library materials as essential working tools more immediately and frequently than other staff.

12. SIZE. Most newly established Regional libraries have a minimum of 1,000 square feet; the Area facilities a minimum of 500 square feet, and Insuring Office facilities a minimum of 250 square feet. Where additional space is available, the library space should increase as the collections expand and clientele and library staff increase.

13. PLANNING THE PHYSICAL LAYOUT of the library should be the responsibility of the librarian. Working with HUD management personnel, the librarian should make a scale floor plan of the proposed library area showing such items as doors, windows, pillars, electrical outlets and other permanent fixtures. The librarian should experiment with the space alloted to achieve a layout that is functional and efficient. Frequently, a library supply firm will assist in layout planning without any obligation.

To facilitate space planning, the library may be divided into four main areas - reading, stack, service, and work. To best utilize the space available, it may be necessary to combine two or more of these areas.

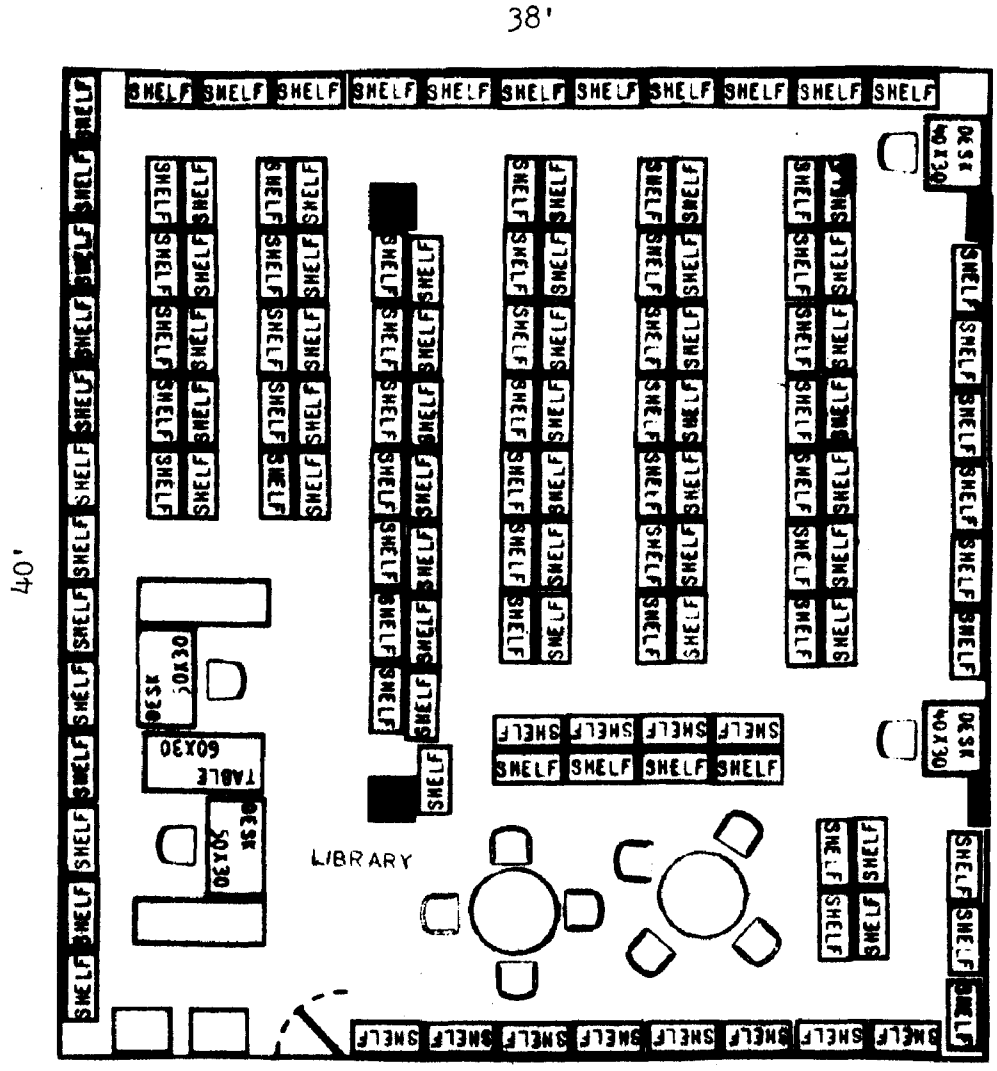
a. The Reading Area should have an adequate number of tables and/or carrels, placed to provide maximum privacy, illumination, and noise control. Space allowance for each reader depends on the type of seating selected. Tables, 60" x 30" can accomodate four readers satisfactorily. Carrels, 36" x 24" and enclosed on three sides give privacy and adequate work space for each reader. Passageways of three to four feet should be allowed between seating. When planning this area, determine normal use (not peak load) to insure efficient utilization of reader space.

b. Planning the Stack Area requires an estimate of the shelving necessary to house the present collection with allowances for expansion. Eight books per linear shelf foot is often used to calculate stack capacity. (This measurement varies from six to twelve books per shelf foot.) The figure is based on a standard shelving section consisting of seven shelves, each three feet wide, holding ninety volumes with allowance for growth. As this figure varies according to the type of

Figure 1

Floor Plan

Dallas Regional Office Library



collection and average volume size, many librarians measure a linear shelf foot of books from their existing collection and base their estimates on the resulting number.

Floor loading requirements must also be considered in stack areas. Most office buildings will have standard floor loading rates of 125 to 175 pounds per square foot. Consultations with building designers or operators will determine adequacy of library stack loads. Where possible, stacks should be located near bearing walls and supporting columns to allow maximum weight distribution. Space between stacks varies from thirty inches to five feet. The average is three feet.

c. The Service Area generally houses Reference and Circulation. It should be placed at the entrance to the library for reception, service, and control purposes. Sufficient space will be needed for such items as the card catalog, display racks, reference collection, dictionary and atlas stands, charging and/or reference desk, etc. (See Paragraph 14, subparagraph f, Equipment Checklist) Each staff member requires a desk and comfortable chair. If this is a combination service-work area, space for typewriters, work tables, file cabinets, etc. is also necessary.

d. The Work Area is space not normally used by the public. It is a room for the staff, where they may order, receive, and catalog library materials. In a Regional or Area library, it may be necessary to combine the staff and work areas.

e. A Sample Floor Plan of the Dallas Regional Library facility (Figure 1) is included in the exhibits. While not a model layout, it is a good example of library planning and design.

14. FURNITURE AND EQUIPMENT. With the exception of certain specialized equipment, library office furnishings are like those of any business office. They should be attractive, durable, safe, and maintenance-free.

The specialized equipment - shelving, card catalog, study carrels, etc., - is discussed below. A checklist of the items needed to establish a library facility is at the end of this section. This equipment as well as other library furnishings may be ordered through library supply firms such as Demco Educational Corp., Box 1488, Madison, Wis. 53701, Gaylord Bros., Inc., Box 61, Syracuse, N.Y. 13201, Remington Rand, Library Bureau Div., 801 Park Ave., Herkimer, N.Y. 13350, and the "Federal Supply Schedule", FSC Group 71, Part 13, "Library Furniture - Metal and Wood", when the

latter can fill the library's special functional needs.

a. Shelving. In a library, adjustable steel shelving is more practical and efficient than conventional bookcases. It is flexible, durable and reasonably priced. A standard section of steel shelving is seven feet, six inches high, three feet wide and has seven shelves. Ten-inch-deep shelving with a twelve inch base for stability accomodates most average-size books. Ten inches is the nominal depth figured from the center of the range to the edge of the shelf; therefore, its actual depth is nine inches.

There are two basic types of shelving:

(1) Bracket - shelving suspended from a pair of uprights by brackets.

(2) Standard or sheet metal - shelving that slides into slots in the end panels.

The bracket type has been found most effective for HUD Library materials. It is simple, flexible, and less expensive. Costs will vary according to the type of finish and end panels selected. Wood end panels are desirable for appearance, stability and noise control.

When ordering shelving, specify single-or double-faced. (Double-faced is shelving placed back to back to form double ranges.)

b. Book Ends. The most commonly used book end is a sheet of metal with a U-cut in it. The U-tongue is bent so it fits under the books and supports them. These can be obtained with a composition cork or urethane covering on the base to hold the books more securely, prevent sliding, and keep the shelves from being scratched. The large size provides maximum support.

Wire book ends that may be inserted in the overhead shelf are available from some manufacturers. However, they are usually difficult to insert, adjust, and often damage paper bound publications, a large part of HUD collections.

c. The Card Catalog is an essential piece of library equipment. A new Regional library should order a fifteen drawer unit and leg base.

d. Carrels provide private, functional study units for libraries. Most are designed to be used singly or combined to provide

space for two or four persons. They are usually 36" x 24" with back and side panels as high as two feet. Both carrels and tables should be chosen for their resistance to stain and wear. They should not have polished surfaces that will reflect the light into the readers' eyes nor should they be so dark that reflected light is poorly distributed. A laminated plastic surface is relatively maintenance-free and can be ordered with a finish that eliminates glare.

e. Display Racks. Slanted shelving is often used to display current books and magazines. It is possible to purchase combination periodical display and storage shelves. Older journal issues are stored under the slanted shelf which lifts and slides back into the unit.

(1) Magazine racks with five or six compartments of varying depths are also available. However, if journals of different sizes are filed alphabetically, a small magazine can be lost in one of the deeper compartments.

(2) A newspaper rack or stick holder is convenient for displaying the latest issues. In one variety, newspapers are secured by six wedge shaped wood sections held together with a heavy rubber ring; another uses an aluminum stick with pins. The sticks are then attached to a holder or hung from a rack.

f. Equipment Checklist:

(1) Shelving

(2) Shelving Ladder

(3) Step Stools

(4) Book Trucks

(5) Card Catalog

(6) Charge File

(7) Visible Card File

(8) Carrels (3) and/or

(9) Table (60" x 30") and Chairs

(10) Desk (60" x 30") and Chair

(11) Typist Desk (60" x 24") and Chair

(12) Telephone(s)

(13) Electric Typewriter(s)

(14) Work Table(s)

(15) File Cabinet(s)

(16) Book Display Rack

(17) Periodical Display Rack

(18) Dictionary/Atlas Stand

(19) Bulletin Board

(20) Wall Clock

(21) Rug

(22) Costumer, Wastepaper Baskets, Ash Trays, etc. for reader use

Other usual office equipment

CHAPTER 3. THE COLLECTIONS

15. SCOPE. Regional and Area libraries should contain information on HUD, its programs, activities, and areas of interest. Building the collections depends on the individual requirements of each library facility. Special character and jurisdictional needs should be studied carefully before establishing the collection policy. Once established, the scope and adequacy of the collection must continually be evaluated in view of changing organizational interests and new program developments. Key legal, administrative and program staff should be consulted as to their needs.

16. Small CORE COLLECTIONS were procured by the Headquarters Library for newly established Regional and Area Offices. All Regional and Area Office libraries should include these basic collections plus materials sent subsequently, currently issued HUD publications and pertinent HUD sponsored studies including Demonstration Grant, research, Comprehensive Planning (701) Reports, Model Cities Plans, etc.

17. SELECTION GUIDES. The following can also be used as selection guides:

    a. "Housing and Planning References" (subject coverage and titles)

    b. "Dictionary Catalog of the U.S. Department of Housing and Urban Development Library and Information Division" issued by G.K. Hall and in particular, the up-to-date supplements.

    c. "Information Sources in Housing and Community Development"

    d. Bibliographies and other publications of the HUD Library and Information Division

    Further details may be found in Chapter 4, Acquisition of Materials and Chapter 7, Reference Service, Paragraph 56, Information Sources.

18. The SIZE of a collection, like its scope, is determined by its purpose, the needs of its users, and its budget.

19. ORGANIZATION. The HUD Library collection is divided into smaller entities by content or form. The following are brief descriptions of some of these categories. For a complete listing, see Issuance 2265.2, Library and Information Services, Chapter 4, The Collections, as these divisions may also be useful for Regional and Area libraries.

a. General Collection - books (other than law), pamphlets, documents, and technical reports.

b. Reference Collection - selected publications useful in answering reference questions. They are primarily dictionaries, biographical directories, trade directories, encyclopediás, and periodical indexes.

c. Law Collection - treatises, state and federal statutes, regional reporter series, law periodicals, law reference materials, etc.

d. Periodical Collection - publications issued two times a year or more often.

e. Comprehensive Planning Reports - reports prepared by state, metropolitan and local planning agencies under grants from HUD for Comprehensive Planning Assistance under Section 701 of the Housing Act of 1954, as amended.

f. Folios - oversize books and reports.

g. Vertical Files - booklets, pamphlets, etc. small in size or of a fragile or ephemeral nature.

20. CONSOLIDATION. All collections, general, reference, law, etc., should be housed in one library for convenience, control, ease of maintenance, and to avoid duplication.

21. Constant MAINTENANCE is necessary to preserve the usefulness of library collections. All materials should be promptly returned to their proper place after use, collections checked regularly to maintain them in correct order, and if possible, inventoried to replace or withdraw damaged and missing items.

To assist the users, locations of the various collections should be clearly indicated and each range of shelving properly labeled. **If possible, the shelves should be only half full to prevent crowding and avoid frequent shifting.**

a. Looseleaf materials such as pocket parts, inserts, additions and the like should be filed immediately to keep publications up to date.

b. **Circulation controls should also be maintained to enable the** library to serve users effectively. Accurate records should reflect the disposition of each item not on the shelf. (See Chapter 8 , Circulation for further information on circulation records)

CHAPTER 4. ACQUISITION OF MATERIALS

22. The ACQUISITION PROCESS is a continual selection of recorded materials relevant to the needs of the organization and its client groups. It includes the procurement of individual items requested by staff members. Where possible, these needs are anticipated, and materials procured in advance. Procurement of all publications must go through the Regional Library.

23. SELECTION SOURCES. Following are some general sources that should assist in locating suitable literature, both purchased and free. For more complete information, consult HUD Library Division's "Information Sources in Housing and Community Development."

    a. Books. Some sources used in book selection include: Publisher's Weekly" and "Weekly Record", recommendations from the staff, publishers' catalogs and announcements, bibliographies, ASPO "Planning", news releases, reviews in trade and professional journals, HUD Clipsheet, and HUD Newsletter.

    b. Periodicals. Information about periodicals, including subscription prices, may be found in the "Ayer Directory of Newspapers and Periodicals", "The Standard Periodical Directory", "Ulrich's International Periodicals Directory", the Library of Congress' "New Serial Titles" (does not include prices) and "HUD Library Periodicals List" (does not include prices).

    c. Government Documents. The "Monthly Catalog of U.S. Government Publications" published by the Superintendent of Documents, U.S. Government Printing Office lists government documents State agencies usually issue a checklist of their publications. For example, the California State Library publishes "California Publications". The Library of Congress issues information on state documents in its "Monthly Checklist of State Publications". Commercial indexes and announcements of municipal documents also contain information on Federal, state and local government materials.

    d. Clientele. One of the best sources on what to procure is the library's clientele. A small facility, especially, must rely heavily on suggestions from the staff it serves. In some organizations, subject specialists are asked to scan technical journals in their fields for possible acquisition items.

24. VERIFICATION. Before acquiring any item, verify the author, title, publisher, and price in an appropriate source such as "Books in Print" or the "Ayer Directory". Then, check the card catalog and

Figure 2

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

REQUISITION FOR SUPPLIES, EQUIPMENT, FORMS, PUBLICATIONS AND SERVICES

(See Instructions on Reverse of Last Copy)

1. REQUISITION NUMBER: TF-3-73

2. DATE: May 18, 1973

FOR SERVICES USE ONLY

3. CONTROL NUMBER:

4. DELIVER TO

NAME: Elsa Freeman

ROOM NUMBER: 8141

TELEPHONE NUMBER: 56382

DIVISION AND BRANCH:

BUILDING: HUD

5. POSTED BY:

6. FILLED BY:

7. OFFICE CODE: 07800 3115

8. ITEM NUMBER	9. DESCRIPTION (Double space between lines)	10. QUANTITY	11. UNIT OF ISSUE	12. UNIT PRICE	13. AMOUNT	14. ACTION CODE
1.	Wagner, Richard Edward The Incidence of Public Expenditure: Public Housing as an Illustrative Example. (Hard Copy) FROM: Xerox University Microfilms Dissertation Copies P.O. Box 1764 Ann Arbor, Michigan 48106	1	ea.		$10.00	

15. I certify that the items requisitioned above have been received.

(Date) (Receiving Employee)

16. REQUESTED BY

TITLE: Director

HUD-10 (11-70) REPLACES FORMS FHA-78, FHA-78A, FHA-105 AND PREVIOUS EDITION WHICH ARE OBSOLETE

the pending and completed order files to ascertain that the requested materials are not already in the collection or on order.

25. APPROVAL. The librarian should approve all selections for the library since he is responsible for collection development. He should evaluate each acquisition request, whether the material is free or must be obtained through purchase, in terms of the scope of the collection, user needs, resource and budgetary limits. Items needed for official use, but which are outside the scope of the collection, should not be purchased, but should be borrowed from another library on interlibrary loan. (See Chapter 8, Circulation, Paragraph 63, Interlibrary Loans).

26. PURCHASED MATERIALS. Library publications are acquired by purchase, exchange, gift, or free request. Purchased materials may be obtained through the Procurement and Grants Division, Office of Procurement and Contracts (OPC), using the proper object class as specified in Issuance 2160.4B, Chg. 1, "Handbook of Codes".

In Headquarters, both general and legal are ordered under object class 3115; periodicals and legal subscription items, including pocket parts, are ordered under object class 2640.

a. Ordering procedures may vary slightly from library to library. Items not available through a book jobber or publisher (See Paragraph 27, Special Accounts) are ordered on a HUD-10, "Request for Supplies and Equipment" (Figure 2) with the personal author or issuing organization, complete title, publisher and address, date, edition or subscription period, and price. In the case of renewal subscriptions, add the words "To continue PO_____" and supply the previous year's purchase order number, giving Federal Supply Schedule number where applicable. The listed items may be from different publishers as long as they are ordered under the same object code.

b. Federal Supply Schedule. Items available through the Federal Supply channels must be purchased from the vendor indicated on the Federal Supply Schedule, even though they are also available from a jobber or book store. On the HUD-10, include pertinent information using exact wording from the Supply Schedule. The FSS price is generally lower than the price on the open market and has been established through General Services Contract to reduce costs to the Government.

c. A completed HUD-10 is sent to OPC where purchase orders (Figure 3) are prepared. The librarian retains the green copy of the HUD-10, and OPC later returns one additional copy after assigning a control number to the

2265.3

Figure 3

METHOD OF PURCHASE INDICATE METHOD BY NUMBER 1. Federal Supply Schedule 2. Federal Supply Service Stock 3. Surplus Property Transfer 4. Advertising (R.S. #3709) 5. Other Exemptions from R.S. #3709 6. Miscellaneous	HUD—35 (2-66) **PURCHASE ORDER** U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT	This number must appear on all packages and papers relating to this order. Order No. HUD-341-74
	Point of Issue Washington, D.C. 20410	Date 3/15/73
Requisition No. B-73-73	Appropriation Symbol and Title 8643980 07800 3115	
Allotment		

TO: *(Name, Address and Zip Code)*
SELLER
Institute of Governmental Affairs
University of California
Davis, California 95616

Consignee and Destination
SHIP TO
Department of Housing and Urban Development
Library - Room 8233
451 - 7th Street, S.W.
Washington, D.C. 20410

Invitation No.	Contract No.	Time for Delivery	Discount Terms
	Open Market	1-30 days arò(9/18/73)	Net

F. O. B. Point	Ship Via	Gov't. B/L No.

ITEM NO.	ARTICLES OR SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
	Multi-Services Centers: Innovations in the Delivery of Welfare Services.	2	Each	3.00	$6.00
LONDON					
				TOTAL	$6.00

INSTRUCTIONS TO VENDORS

To receive payment submit a public voucher (U. S. Standard Forms 1034 and 1034a) or two copies of your invoice. Payment will be made by: Department of Housing and Urban Development.

Signature

Name E.L. Ward, Chief
Title Procurement Section

202 755-5051

VENDOR'S COPY

5/75

Figure 4

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

REQUISITION FOR SUPPLIES, EQUIPMENT, FORMS, PUBLICATIONS AND SERVICES

(See Instructions on Reverse of Last Copy)

1. REQUISITION NUMBER: B-12-74
2. DATE: August 28, 1973
FOR SERVICES USE ONLY
3. CONTROL NUMBER:
5. POSTED BY:
6. FILLED BY:

4. DELIVER TO

NAME: Elsa S. Freeman
ROOM NUMBER: 8233
TELEPHONE NUMBER: 56938
DIVISION AND BRANCH: Library & Information Division
BUILDING: HUD
7. OFFICE CODE: 07800 3115

8. ITEM NUMBER	9. DESCRIPTION (Double space between lines)	10. QUANTITY	11. UNIT OF ISSUE	12. UNIT PRICE	13. AMOUNT	14. ACTION CODE
	Renew blanket order account with the McGraw-Hill Book Company. By special arrangement with their Library Services Division. Books received from them can be obtained with up to 40% discount.					
	Orders should be consolidated and invoiced once a month for all items delivered. Each invoice should cite the blanket order number. Payments will be made monthly on the basis of each invoice.					
	Orders are to be addressed to: Ms. Maureen Frascinella Library Services Division McGraw-Hill Book Company 1221 Avenue of the Americas New York, N. Y. 10020					
	TOTAL NOT TO EXCEED:				$300.00	
	To continue P.O. 746-73					
	PLEASE EXPEDITE					

15. I certify that the items requisitioned above have been received.

(Date) (Receiving Employee)

16. REQUESTED BY

TITLE: Director

HUD-10 (11-70) REPLACES FORMS FHA-78, FHA-78A, FHA-105 AND PREVIOUS EDITION WHICH ARE OBSOLETE

2265.3

Figure 5

Book Order Form

☆ U. S. GOVERNMENT PRINTING OFFICE 1971-429-997

CLASS NO.	AUTHOR Galenson, Walter, ed.			L. C. CARD NUMBER
ACC. NO.	TITLE Incomes policy: what can we learn from Europe?			CARD SETS ORD'D L.C.
LIST PRICE 7.50	PLACE Ithaca, NY	PUBLISHER Cornell Univ. Press	YEAR 1973	L.J.
DEALER	VOLS.	SERIES	EDITION	WI.
NO. OF COPIES 1	RECOMMENDED BY	DATE ORDERED	COST	OTHER
ORDER NO.	FUND CHARGED	DATE RECEIVED	S.B.N.	

U. S. Department of Housing and Urban Development
HSB Library
Washington, DC 20410

Mo. Labor Rev.8/73, p.92

CLASS NO.	AUTHOR			L. C. CARD NUMBER
ACC. NO.	TITLE			CARD SETS ORD'D L.C.
LIST PRICE	PLACE	PUBLISHER	YEAR	L.J.
DEALER	VOLS.	SERIES	EDITION	WI.
NO. OF COPIES	RECOMMENDED BY	DATE ORDERED	COST	OTHER
ORDER NO.	FUND CHARGED	DATE RECEIVED	S.B.N.	

U. S. Department of Housing and Urban Development
Library
Washington, DC 20410

requisition. Generally, when a purchase order is issued by the Procurement Section, the following three copies should be sent to the librarian: (1) Receipt Copy (pink), (2) Property Record Copy (yellow), and (3) Consignee Copy (white). When material purchased is received, the librarian signs all copies of the purchase order and makes the following distribution: (1) pink copy to Accounting, (2) yellow copy to Procurement, and (3)

27. SPECIAL ACCOUNTS. A library may procure materials through special or blanket accounts with book jobbers, publishers, or local book stores. These accounts are established by submitting a HUD-10 to Procurement requesting that a contract or purchase order be issued for a certain amount. (Figure 4) Once a blanket account has been opened, the library may send orders direct to the vendor without the necessity of submitting further requisitions and having individual purchase orders issued for each item. The number of orders sent to each vendor is limited only by the dollar ceiling established when the blanket account was opened. The Central Office has such accounts with a book jobber, publishers, and a book store.

a. Other special accounts are also available with the Government Printing Office, Library of Congress, and the National Technical Information Service.

b. GPO Outlets. In addition to the main Government Printing Office in Washington, D.C., there are GPO outlets in each city in which HUD has a Regional Office. These outlets were established primarily to provide the public with a source for government agency publications, thus relieving these agencies of the burden of public requests. However, each store manager selects the items to be stocked. Therefore, items needed by a library on a continuing basis could be stocked if the librarian informed the manager of the need. The full range of GPO publications in stock is, of course, available by direct order from the central Government Printing Office in Washington. Further information on establishing this and other special accounts may be obtained from the Acquisitions Section, Headquarters Library, or the organizations themselves.

28. BOOK ORDER RECORDS. Many types of book order forms are available. The Headquarters Library uses a five-part form produced specifically for its use by the Government Printing Office. (Exhibit 5) Gaylord Bros. and other library supply firms also have multiple order forms that may be adapted to Regional, Area, or Insuring Office needs. The five copies of the GPO form are coded by color - yellow, white, pink, blue, and buff - for various purposes. The form contains space for basic

order information including author, title, place, publisher, date, price, number of copies, etc.

a. For blanket accounts, all copies are used. The yellow and white copies are sent to the vendor; the white is returned with the book. The pink copy is filed by order number in a separate file for each blanket account. The order number consists of two parts - the purchase order used to open the account and a running number assigned in sequence. The green and buff copies are stapled together and filed by author in the pending order box. When ordering books on a HUD-10, only the green and buff copies are kept and filed in the pending orders.

b. On receipt of an item, the green and buff cards are dated; the green remains in the pending order file. The buff copy is attached to the book until it is cataloged, classified, and sent to Circulation for shelving. At this time, the card with its book number (Chapter 5, Technical Organization of Materials, Paragraph 39, Classification) written in the appropriate space, is returned to the Acquisitons Section. The green is then discarded, and the buff placed in the completed order file.

c. Other Uses. These book order forms have a variety of possible uses. As indicated, a field library may adapt them to their individual needs. For example, one could be used as a temporary catalog card. Even if a Regional or Area library does not use all the parts of a multiple form, the form can be a useful and timesaving acquisitions tool.

29. FREE MATERIALS. A library may obtain free copies of many publications on request. The Headquarters Library uses HUD-43, "Request for Publications", (Figure 6) to secure these materials. (A two-part form, HUD-43A, "Request for Publications", was designed for Regional use (Figure 7) and may be obtained in the usual manner from Headquarters.) The form consists of four parts - white, pink, cream, and buff. The white and pink copies are sent to the issuing organization; the cream and buff cards remain in the pending order file until the item is received. Free publication requests may also be made by telephone, but a similar record should be kept of each one in the pending order box.

30. GIFTS AND EXCHANGE. A Regional or Area Office library may also receive free materials in exchange for HUD publications or as gifts. To avoid duplication, gift items must be searched and verified in the card catalog before being processed. Libraries cannot afford to discard valuable items; however, they also can-

Figure 6

HUD-43, "Request for Publications"

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
LIBRARY
WASHINGTON, D.C. 20410

HUD-43 (11-69)

REQUEST FOR PUBLICATION

Kindly send the title listed below for the work of this Department. The enclosed self-addressed label will carry the publication through the mail postage free. Please return the enclosed transmittal slip either with the publication or, if the material is not available, checked to indicate its status. *IF THERE IS A CHARGE FOR THE PUBLICATION DO NOT SEND IT WITHOUT FURTHER AUTHORIZATION.* Thank you for your courtesy in this matter.

(Director)

Publication Section
Canadian Council on Social
Development
55 Parksdale Avenue
P.O. Box 3505, Postal Station C.
Ottawa, Ontario KIY 461

AUTHOR

TITLE

Day Care: Growing, Learning, Caring

SERIES

(2 copies)

EDITION	PUB. DATE	PAGING

PUBLISHER

Canadian Council on Social Development

RECOMMENDED BY	REQUEST DATE	REVIEWED IN
D. Gilfert 9164	8/31/73	

HUD-43 (11-69)

TRANSMITTAL SLIP

Director, Library
Department of Housing and Urban Development
Washington, D.C. 20410

In response to your request the title listed below is:

- [ ] Enclosed
- [ ] Out of Print
- [ ] Not available without charge. We await your purchase order before sending the publication.

Price $. . . . . .

Publication Section
Canadian Council on Social
Development
55 Parksdale Avenue
P.O. Box 3505, Postal Station C.
Ottawa, Ontario KIY 461

AUTHOR

TITLE

Day Care: Growing, Learning, Caring

SERIES

(2 copies)

EDITION	PUB. DATE	PAGING

PUBLISHER

Canadian Council on Social Development

RECOMMENDED BY	REQUEST DATE	REVIEWED IN
D. Gilfert 9164	8/31/73	

ORDER RECORD

2265.3

Figure 7.

HUD-43A, "Request for Publications"

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
REGIONAL LIBRARY
REQUEST FOR PUBLICATION

HUD-43A (12-69)

Kindly send the title listed below for the work of this Department. The enclosed self-addressed label will carry the publication through the mail postage free.. Please return the enclosed transmittal slip either with the publication or, if the material is not available, check to indicate its status. *IF THERE IS A CHARGE FOR THE PUBLICATION DO NOT SEND IT WITHOUT FURTHER AUTHORIZATION.* Thank you for your courtesy in this matter.

_____
(Librarian)

AUTHOR

TITLE

SERIES

EDITION	PUB. DATE	PAGING

PUBLISHER

RECOMMENDED BY	REQUEST DATE	REVIEWED IN

not afford to acquire and process unnecessary ones. Publications outside the organizational scope may be disposed of at the librarian's discretion. Many libraries prepare lists of their duplicate or unwanted materials for exchange with other libraries.

31. PERIODICALS. In the Headquarters Library, serial or periodical orders, purchased or free, are recorded on HUD-738, "Periodical Order Record". (Figure 8) The information on each form includes title, publisher, price, subscription period, order date, requisition number, and purchase order number. Order cards are filed by renewal month. Another file, on plain 3" x 5" cards contains only title and renewal month. This file is the alphabetic key to the monthly file.

a. Kardex cards (Figures 9 - 11) used in Headquarters as a serial record for issues received (See Chapter 5, Technical Organization of Materials, Paragraph 44, Periodical Organization and Control) may also contain acquisition information. (Figure 11) In a small library, record keeping should be at a minimum. Where feasible, adapt Headquarters techniques and combine functions to expedite the handling and processing of material.

b. Multiple Year Orders. In placing orders for periodical subscriptions, libraries should take advantage of reduced multiple year prices when available. Multiple year orders are advantageous because they reduce the number of purchase orders needed, and they save library manhours used in preparing orders. Limiting factors could be the lack of funds, or, in the case of new publications, insufficient information to make a decision for a long term commitment. Because of recent rapid increases in most subscription costs, it is often better to get the price from the latest current issue, or telephone the publisher to verify price.

32. RENEWALS. Two months before a subscription is to expire, it should be checked to:

a. Determine if it is still needed by the library and/or persons on routing;

b. Check receipt; if not received, call or send claiming letter to publisher;

c. Verify publisher's address and subscription rate by checking renewal invoices or recent issues of the periodical;

d. Determine if number and length of subscriptions are adequate.

Figure 8

HUD-738, "Periodical Order Record"

new sub. pending

TITLE: Washington Report on Long Term Care

PUBLISHER	PRICE	SUB. PERIOD FROM	SUB. PERIOD TO	DATE ORDERED	REQ. NO.	P. O. NO.
Washington Report on Long Term Care 437 National Press Bldg. Washington, D.C. 20004	$75	June'73	May'74	6/7/73	P-64-73	4121-73

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD-738 (1-69) **PERIODICAL ORDER RECORD** 235568-P

2265.3

Figure 9

Kardex Card, Daily

TITLE Daily Washington Law Reporter FREQUENCY Daily

PUBLISHER OR AGENT The Washington Law Reporter SUBSCRIP. DATE

ADDRESS 1625 Eye Street, N.W. NOS. PER VOL.

BOUND Washington, D.C. 20006 VOLS. PER YEAR

PREPARED Files in law IN BINDERY

YEAR	VOL.	MO.	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31
1973		JAN.		X	X	X	X			X	X	X	X	X			X	X	X	X	X			X	X	X	X	X			X	X	X
		FEB.	X	X			X	X	X	X	X			X	X	X	X	X			X	X	X	X	X			X	X	X			
		MAR.																															
		APR.																															
		MAY																															
		JUN.																															
		JUL.																															
		AUG.																															
		SEP.																															
		OCT.																															
		NOV.																															
		DEC.																															

INC. TITLE

Daily Washington Law Reporter

JAN | FEB | MAR | APR | MAY | JUN | JUL | AUG | SEP | OCT | NOV | DEC

CAT. NO. 1-2005.1 T.R.P. 2005-9

TYPIST PLEASE NOTE— THIS SCALE CORRESPONDS TO (PIGA) SCALE—SET P ER GUIDES SO THAT CARD SCALE WILL REGISTER WITH MACHINE SCALE WHEN CARD IS TURNED INTO WRITING POSITION. START INDEX (0) POINTS FRO LEFT EDGE OF CARD, USE OTHER POINTS OF SCALE FOR OTHER DIVISIONS OF VISIBLE TITLE. SET TABULATORS TO INSURE PERFECT ALIGNMENT OF E H DIVISION OF INFORMATION. FOLD BACK OR REMOVE STUB AFTER TYPING. USE NEW TYPEWRITER RIBBON.

KARDEX VISIBLE DIVISION REMINGTON RAND — I DIVISION OF SPERRY RAND CORPORATION [redacted] PRINTED IN U S A

CAT. NO. 1-2005.1

The year and date may be handscribed. Sample is typed to provide a clearer reproduction.

2265.3

Figure 10

Kardex Card, Weekly

TITLE Time FREQUENCY Wkly DAY DUE

PUBLISHER OR AGENT Time, Inc., SUBSCRIP. DATE

ADDRESS 540 Michigan Ave., Chicago, Ill. NOS. PER VOL.

BOUND Keep 2 years only VOLS. PER YEAR

PREPARED IN BINDERY Stamp inside and out

TITLE PAGE

INDEX

YEAR	SER.	VOL.		JAN.	FEB.	MAR.	APR.	MAY	JUNE	JULY	AUG.	SEPT.	OCT.	NOV.	DEC.	T.P.	I
1972			1	3	7	6	3	1	5	3	7	4	2	6	4		
			2	10	14	13	10	8	12	10	14	11	9	13	11		
			3	17	21	20	17	15	19	17	21	18	16	20	18		
			4	24	28	27	24	22	26	24	28	25	23	27	25		
			5	31				29		31			30				
			1														
			2														
			3														
			4														
			5														
			1														
			2														
			3														
			4														
			5														

INC. TITLE Time

REMINGTON RAND CAT NO. 1-2007.1 TKP 20041

JAN FEB MAR APR MAY JUN JUL AUG SEP OCT NOV DEC

C-1

TYPIST PLEASE NOTE— THIS SCALE CORRESPONDS TO (PICA) SCALE—SET PAI R GUIDES SO THAT CARD SCALE WILL REGISTER WITH MACHINE SCALE WHEN CARD IS TURNED INTO WRITING POSITION. START INDEX (1) POINTS FROM EFT EDGE OF CARD. USE OTHER POINTS OF SCALE FOR OTHER DIVISIONS OF VISIBLE TITLE. SET TABULATORS TO INSURE PERFECT ALIGNMENT OF EAC DIVISION OF INFORMATION. FOLD BACK OR REMOVE STUB AFTER TYPING. USE NEW TYPEWRITER RIBBON.

KARDEX VISIBLE DIVISION REMINGTON RAND —1 DIVISION OF SPERRY RAND CORPORATION PRINTED IN U S A

CAT. NO. 1-2007.1

2265.3

Figure 11

Kardex Card, Monthly

TITLE Journal of Housing FREQUENCY Monthly DATE DUE $12.00

PUBLISHER OR AGENT Nat'l Assoc. of Housing and Redev. Officials SUBSCRIP. DATE TITLE PAGE

ADDRESS Watergate Bldg., 2600 Virginia Ave. NOS. PER VOL. INDEX

BOUND Washington, D.C. 20037 VOLS. PER YEAR

PREPARED DISPLAY RACK (R) IN BINDERY Rec. 12 c. on membership

YEAR	SER.	VOL.	JAN.	FEB.	MAR.	APR.	MAY	JUNE	JULY	AUG.	SEPT.	OCT.	NOV.	DEC.	T. P.	I.
			#1	#2		#3	#4	#5	#6	#1	#3	#9	#10	#11		
1972		29	31	(3 - 27)		18	24	30	28	9-5	10-5	11-30	12-20	1-23	3-73	

INC. TITLE CAT. NO. 1-2006.1 KP 20040

JAN FEB MAR APR MAY JUN JUL AUG SEP OCT NOV DEC

Journal of Housing c.1

TYPIST PLEASE NOTE— THIS SCALE CORRESPONDS TO (PICA) SCALE—SET PAPER GUIDES SO THAT CARD SCALE WILL REGISTER WITH MACHINE SCALE WHEN CARD IS TURNED INTO WRITING POSITION. START INDEX (3) POINTS FROM LEFT EDGE OF CARD. USE OTHER POINTS OF SCALE FOR OTHER DIVISIONS OF VISIBLE TITLE. SET TABULATORS TO INSURE PERFECT ALIGNMENT OF EACH DIVISION OF INFORMATION. FOLD BACK OR REMOVE STUB AFTER TYPING. USE NEW TYPEWRITER RIBBON.

KARDEX VISIBLE DIVISION REMINGTON RAND — A DIVISION OF SPERRY RAND CORPORATION PRINTED IN U. S. A.

CAT. NO. 1-2006.1 131

After verifying the above information, the HUD-10 should be typed, its date and number recorded on the order card, and then, it should be forwarded to Procurement. If a subscription is new, prepare a title and a periodical order record card to be placed in the serial record file. Invoices or blurbs are held until the purchase orders are received from Procurement. They are attached to the copy of the purchase order which will be sent to Finance and Accounts to authorize payment to the vendor on receipt of the material. On receipt of the purchase order, the purchase order number is recorded on the order card and on the green copy of the requisition. This copy of the requisition is placed in the completed periodical requisition file when all purchase orders have been issued.

33. CONFIRMING ORDERS. Occasionally material is sent on approval or must be obtained immediately without time to process a purchase order. In these cases, a confirming order may be prepared on a HUD-10 and sent to Procurement. The HUD-10 is prepared in the usual manner, the words "CONFIRMING ORDER - DO NOT DUPLICATE" appearing at the beginning of the item. (Figure 12) This will prevent the vendor from mistakenly sending an additional copy of the material when he receives the purchase order.

34. PREPAYMENT. If items require prepayment, they are ordered in the regular way on a HUD-10. One knows that prepayment is required because of an announcement from the publisher or from past experience, having previously ordered the item or one similar to it from particular publishers. If an announcement stating that prepayment is required is available, forward that to Procurement together with the HUD-10. On the HUD-10 state "PREPAYMENT REQUIRED". (Figure 13) An order requiring prepayment is not a confirming order.

35. IMPREST FUNDS. For local orders of $150 or less, a requisition with justification may be written requesting cash in hand. (Figure 14)

36. FINANCIAL RECORDS. The Headquarters Library records the dollar amount of its purchases and maintains cumulative dollar totals on each purchase account. In this way, expenditures may be kept within the budget authorization. The record is kept on ledger paper. (Figure 15)

37. INITIAL PROCESSING PROCEDURES. Each item received is verified against the order record before stamping it with the library property stamp. Determine that in every respect the book received is the book ordered, and that it is in acceptable condition. Check for imperfections - missing, upside down, blank or uncut pages. Faulty books are usually quickly replaced by the

Figure 12

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

REQUISITION FOR SUPPLIES, EQUIPMENT, FORMS, PUBLICATIONS AND SERVICES

(See Instructions on Reverse of Last Copy)

1. REQUISITION NUMBER: B-36-73

2. DATE: March 9, 1973

FOR SERVICES USE ONLY

3. CONTROL NUMBER

4. DELIVER TO

NAME: Elsa S. Freeman

ROOM NUMBER: 8233

TELEPHONE NUMBER: 56938

5. POSTED BY

6. FILLED BY

DIVISION AND BRANCH: Library & Information Division

BUILDING: HUD

7. OFFICE CODE: 07800 3115

8. ITEM NUMBER	9. DESCRIPTION (Double space between lines)	10. QUANTITY	11. UNIT OF ISSUE	12. UNIT PRICE	13. AMOUNT	14. ACTION CODE
1.	CONFIRMING ORDER - DO NOT DUPLICATE 22 LAMSAC Publications Available from: LAMSAC 35 Belgrave Square London, SWIX 8QB England INVOICES ATTACHED	22	ea	Total	$ 39.00 (Prices listed in British pounds; US $ equivalent per Riggs Bank, Foreign Dept.)	

15. I certify that the items requisitioned above have been received.

(Date) (Receiving Employee)

16. REQUESTED BY

TITLE: Director

HUD-10 (11-70) REPLACES FORMS FHA-78, FHA-78A, FHA-105 AND PREVIOUS EDITION WHICH ARE OBSOLETE

Figure 13

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

REQUISITION FOR SUPPLIES, EQUIPMENT, FORMS, PUBLICATIONS AND SERVICES

(See Instructions on Reverse of Last Copy)

1. REQUISITION NUMBER: B-57-73 page 2
2. DATE: May 8, 1973
FOR SERVICES USE ONLY
3. CONTROL NUMBER:
5. POSTED BY:
6. FILLED BY:

4. DELIVER TO

NAME: Elsa S. Freeman
ROOM NUMBER: 8233
TELEPHONE NUMBER: 56938
DIVISION AND BRANCH: Library & Information Division
BUILDING: HUD
7. OFFICE CODE: 07800 3115

8. ITEM NUMBER	9. DESCRIPTION (Double space between lines)	10. QUANTITY	11. UNIT OF ISSUE	12. UNIT PRICE	13. AMOUNT	14. ACTION CODE
6.	California Publicity Outlet (with supplement) Available from: Unicorn Systems 3807 Wilshire Blvd. Los Angeles, Calif., 90010	1	ea.	24.95	24.95	
7.	New York Publicity Outlet (with 2 supplements) Available from: Mr. Harold Hansen P.O. Box 327 Washington Depot, Ct. 06794	1	ea.	27.50	27.50	
8.	Engineering Index (1972 annual vols.) Available from: United Engineering Center 345 E. 47th St. New York, N.Y. 10017	1	ea.	275.00 (pre-payment required)	275.00	
	NOTE: Prepayment is required. See attached copy of letter stating this. Price was verified by telephone call.					
9.	Financing the Nation's Housing Needs (Statements on National Policy #50P) Available from: Distribution Division CED 477 Madison Avenue New York, N.Y. 10022	15	ea. (less discount) (Note: 10% discount given on orders for 10-24 copies)	1.50	22.50 -2.25 20.25(net)	

15. I certify that the items requisitioned above have been received.

(Date) (Receiving Employee)

16. REQUESTED BY

TITLE: Director

HUD-10 (11-70) REPLACES FORMS FHA-78, FHA-78A, FHA-105 AND PREVIOUS EDITION WHICH ARE OBSOLETE

Figure 14

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

REQUISITION FOR SUPPLIES, EQUIPMENT, FORMS, PUBLICATIONS AND SERVICES

(See Instructions on Reverse of Last Copy)

1. REQUISITION NUMBER: B-64-73

2. DATE: May 17, 1973

FOR SERVICES USE ONLY

3. CONTROL NUMBER:

4. DELIVER TO

NAME: Elsa S. Freeman

ROOM NUMBER: 8233

TELEPHONE NUMBER: 56938

5. POSTED BY:

6. FILLED BY:

DIVISION AND BRANCH: Library & Information Division

BUILDING: HUD

7. OFFICE CODE: 02800 3115

8. ITEM NUMBER	9. DESCRIPTION (Double space between lines)	10. QUANTITY	11. UNIT OF ISSUE	12. UNIT PRICE	13. AMOUNT	14. ACTION CODE
	PLEASE PAY ON IMPREST FUNDS					
1.	How to Win Friends and Influence People, by Dale Carnegie	1	ea	.95	.95	
	Available from Trover Shop 227 Pennsylvania Ave., S.E. Washington, DC					

15. I certify that the items requisitioned above have been received.

(Date) (Receiving Employee)

16. REQUESTED BY

TITLE: Director

HUD-10 (11-70) REPLACES FORMS FHA-78, FHA-78A, FHA-105 AND PREVIOUS EDITION WHICH ARE OBSOLETE

Figure 15

JOHN I. THOMPSON CO. P.O. HUD 102-72

Year	Date	Purchase Order Item	Obligation	Adjustments	Cumulative Obligations	Encumbrance	Unobligated Balance	Voucher to F & A
1971	Aug.	25				7500 00		
		25 #1-4		52 95				
		30 #5-21		51 20				
		31 #22-117		836 02				
	Sept.	1 #118		5 00				
		Total			945 17		6554 83	
		14 #119-120		17 50				
		15 #121-122		30 00				
		24 #123-126		49 60				
		27 #127-194		611 95				
		Total			1654 22		5845 78	
		29 #195-199		41 55				
		30 #200-214		275 85				
	Oct.	6 #215-216		12 00				
		7 #217		9 75				
		Total			1993 33		5506 63	
		7 #218-224		58 45				
		13 #225-227		27 91				
		15 #228-241		266 15				
		20 #242-245		20 00				
		Total			2365 88		5134 12	
		22 #246		5 00				
		26 #32 (Cancelled)			-12 50			
		27 #247-261		119 30				
		28 #17, #178 (Cancelled)			-7 90			
		Total			2469 78		5030 22	
	Nov.	2 #202-269		86 40				
		8 #14, 15, 37, 101, 118 (Cancelled)			-26 00			
		8		34 90				
		10		258 85				

publisher or jobber without charge, but not if they have been stamped or partially processed.

a. The property stamp should be placed inside the front and back covers and title page. Some librarians also put this stamp on a designated page within each publication. Periodical issues are stamped on the front cover.

Figure 16

Page from "Urban Vocabulary

Bond yields (332.6)
xx Bonds

Bonds (332.63)
x Debentures
xx Corporation law
xx Corporations
xx Finance
xx Negotiable instruments
xx Securities
sa Bond yield tables
sa Bond yields
sa Municipal bonds
sa State bonds

Bonds, Fidelity SEE Suretyship and guaranty

Bonus system SEE Wage incentives

Book selection (025.2)
xx Library science
sa Bibliography

Book trade SEE Publishers and publishing

Brick construction (693.2)
xx Building construction
sa Bricklaying
sa and xx Tile construction

---Contracts and specifications
xx Building construction – Contracts and specifications
xx Contracts

Brick industry (666.7)
xx Building industry
sa and xx Bricks

Bricklaying (693.2)
xx Brick construction
xx Bricks
xx Building construction

Bricks (691.42)
xx Building materials
sa Bricklaying
sa and xx Brick industry
sa and xx Clay

Bridges (624.2)
xx Concrete construction
xx Engineering
xx Welding
sa Vibration
sa and xx Trusses

---Standards and specifications

Budget (336)
(Here are entered works on appropriations and expenditures of government departments, agencies, etc. Works on family budgets are entered under Budgets or Family income and expenditure)
x Planning-programming-budgeting
xx Finance
sa Municipal finance
sa State finance
sa and xx U.S. Appropriations and expenditures
sa and xx U.S. Executive departments – Appropriations and expenditures

Budgets (647.1)
(Budgets for families)
sa and xx Cost and standard of living
sa and xx Family income and expenditure

Building SEE Building construction; Building industry

Building, Fireproof SEE Fireproof construction

Building and loan associations SEE Savings and loan associations

Building associations SEE Savings and loan associations

Building board SEE Wallboard

Building code administration (690.091.82)
x Administration
xx Building codes

Building codes (Geographic subdivision) (690.091.82)
x Building laws and regulations
x Building ordinances
x Building regulations
x Codes
x State building codes
xx Building construction
xx Building construction – Contracts and specifications
sa Building code administration
sa Building inspection
sa Building materials – Standards and specifications
sa Electrical codes
sa Fire prevention
sa Fireproof construction
sa Heating codes
sa Plumbing codes
sa Zoning legislation
sa and xx Building standards
sa and xx Housing codes

Building components SEE Coordinated components

Building construction (Geographic subdivision) (690)
(Here are entered works dealing with the process of construction. Works on the construction business are entered under Building industry)
x Building
x Construction
x House construction
x Residential construction
xx Engineering
xx Technology
xx Tools
sa Aided self-help housing
sa Architectural acoustics
sa Basements
sa Brick construction
sa Bricklaying
sa Building codes
sa Building construction films

6

CHAPTER 5. TECHNICAL ORGANIZATION OF MATERIALS

38. CATALOGING AND CLASSIFICATION. Following is a brief description of the cataloging and classification of library materials. For more detailed instruction on various aspects, consult the books listed in the bibliography or the HUD Headquarters Cataloging unit.

The Headquarters Library catalogs and classifies materials to provide a bibliographic record for information retrieval. Subjects are assigned from the "Urban Vocabulary" (Figure 16), a list of subject headings created and developed by the Library to meet the special needs of the Department and the group it serves.

a. Books are classified according to the Universal Decimal System (UDC) (Figure 17), modified to meet the special needs of the Department and its client groups. The author numbers are assigned by the Cutter System as modified by HUD library usage. (Figure 18)

b. The public card catalog is arranged alphabetically with authors (personal and corporate), titles, and subjects interfiled. In addition, G. K. Hall Co. has reproduced the card catalog in a nineteen volume book catalog with supplements that is available in the Headquarters and Regional Office Libraries. Volume 19 is a computer produced book catalog listing the HUD Comprehensive Planning Reports (701 Reports) by geographic and KWIC index. (See Paragraph 46, Organization and Control of Comprehensive Planning Reports)

The Headquarters cataloging and classification systems are recommended for use in all field libraries to help create a uniform network and facilitate exchange of material among the various libraries.

39. CLASSIFICATION is an ordered arrangement that groups together books on similar topics. It is particularly helpful in an open shelf library for browsing purposes. Most classification systems use a notation scheme of numbers and/or letters to identify a publication.

a. Universal Decimal System. The UDC is numeric. In assigning the UDC number the first step is to analyze the subject content and determine the primary subject. Locate that subject in the "Urban Vocabulary" and use the UDC number indicated in parentheses following the subject. If a geographic designation is desired, the librarian may consult the geographic listing that was distributed with the draft of

Figure 17
UNIVERSAL DECIMAL CLASSIFICATION

OUTLINE OF THE MAIN DIVISIONS

000 GENERALITIES

000 Prolegomena. Fundamentals of knowledge and culture
010 Bibliography. Catalogues
020 Libraries. Librarianship
030 Encyclopedias. Dictionaries. Reference books
040 Essays, Pamphlets, offprints, brochures and the like
050 Periodicals. Reviews
060 Corporate bodies. Institutions. Associations. Congresses. Exhibitions. Museums
070 Newspapers. Journalism
080 Polygraphies. Collective works
090 Manuscripts. Rare and remarkable works. Curiosa

100 PHILOSOPHY. METAPHYSICS. PSYCHOLOGY. LOGIC. ETHICS AND MORALS

110 Metaphysics
130 Metaphysics of spiritual life. Occultism
140 Philosophical systems
150 Psychology
160 Logic. Theory of knowledge. Logical method
170 Ethics. Moral science. Convention
180 Aesthetics

200 RELIGION. THEOLOGY

210 Natural theology
220 Holy Scripture. The Bible
230 Dogmatic theology
240 The religious life. Practical theology
250 Pastoral theology
260 The Christian church in general
270 General history of the Christian church
280 Christian churches or worshipping bodies
290 Non-Christian religions. Comparative religion

300 SOCIAL SCIENCES. ECONOMICS. LAW. GOVERNMENT. EDUCATION

300 General sociology. Sociography
310 Statistics
320 Political science. Politics. Current affairs
330 Political and social economy. Economics
340 Jurisprudence. Law. Legislation
350 Public administration. Military science. Defence
360 Social relief and welfare. Insurance
370 Education
380 Trade. Commerce. Communication and transport
390 Ethnography. Custom and tradition. Folklore

400 PHILOLOGY. LINGUISTICS. LANGUAGES

410 Philology and linguistics in general
420 Western languages in general. English
430 Germanic languages. German. Dutch, etc.
440 Romance languages in general. French
450 Italian. Roumanian, etc.
460 Spanish. Portaguese, etc.
470 Latin and Greek
480 Slavonic languages. Baltic languages
490 Oriental, African and other languages

500 MATHEMATICS AND NATURAL SCIENCE

510 Mathematics
520 Astronomy. Surveying. Geodesy
530 Physics and mechanics
540 Chemistry. Crystallography. Mineralogy
550 Geology. Meteorology
560 Palacontology
570 Biology. Anthropology
580 Botany
590 Zoology

600 APPLIED SCIENCES. MEDICINE. TECHNOLOGY

610 Medical sciences. Health and safety
620 Engineering and technology generally
630 Agriculture. Forestry. Stockbreeding. Fisheries
640 Domestic science. Household economy
650 Commercial, office, business techniques. Management
Communication. Transport
660 Chemical industry. Chemical technology
670 Manufactures, industries and crafts
680 Specialized trades, crafts and industries
690 Building industry, materials, trades, construction

700 THE ARTS. RECREATION. SPORT, ETC.

710 Physical planning, Landscape, etc.
720 Architecture
730 Sculpture and the plastic arts
740 Drawing and minor arts and crafts
750 Painting
760 Engraving and prints
770 Photography. Cinematography, etc.
780 Music
790 Entertainment. Pastimes. Games. Sport

800 LITERATURE. BELLES LETTRES

800 Generalities. Rhetoric. Criticism
820 Literature of the Western countries. English literature
830 Germanic literature: German, Dutch and Scandinavia
840 Romance literature. French literature
850 Italian literature. Roumanian literature

860 Spanish literature. Portuguese literature
870 Classical, Latin and Greek literature
880 Slavonic literature. Baltic literature
890 Oriental, African and other literature

900 GEOGRAPHY. BIOGRAPHY. HISTORY

910 Geography, exploration and travel
920 Biography. Genealogy. Heraldry
930 History in general. Sources. Ancient history
940 Mediaeval and modern history
940 History of Europe
950 History of Asia
960 History of Africa
970 History of North America
980 History of South America
990 History of Oceania, Australasia and Polar region

Figure 18

U.S. Department of Housing and Urban Development Library

Code for Assigning Book Numbers

The book numbers are part of the call numbers. The first lines in the call number relate to the subject classification and are used by any number of books; the book numbers on subsequent lines distinguish the individual books.

In general, the Cutter or book number is dependent on the catalog entry. In order that no two books have an identical number, the book number used in the HUD Library is a combination of letters and figures arranged so that books with the same classification may be located on the shelves and quickly identified.

The basic elements of the book number system used are:

1. The initial letter is usually taken from the first word (not an article) of the author or title entry as shown on the main entry card. It is written in upper case. This is followed by two figures to represent the two subsequent letters in the word selected in accordance with this schedule:

ab	1
cde	2
fgh	3
ijk	4
lmn	5
opq	6
rst	7
uvw	8
xyz	9

For example, Grebler, G72, but Greene G722, since it must be distinguished from Grebler if the titles being cataloged have the same classification. However, if the book by Grebler is classified in 600 and the one by Greene in 711, G72 may be used for both since the classification differs.

2. Two books written by the same author and having the same classification are distinguished by adding to the book number the first letter of the first word of the title not an article. It is written in lower case. For example: Wilma Donahue's Housing and Social Health of Older People would take the call number 728.1 ;362.6 D65h to distinguish it from her Housing for the Aged also classified in 728.1 ;362.6.

3. Two, three or four titles by the same author in the same class and beginning with the same three or four letters are distinguished by adding in lower case the first, first two, or first three letters of the first word of the titles to the book number. For example: Three books by Wilma Donahue having a title beginning with the word Housing would take the call numbers 728.1 D65; 728.1 D65h; 728.1 D65ho. A fourth book would be 728.1 D65hou. (Preferably no more than three lower case letters are added.) Further titles beginning with the same letters are distinguished by adding an additional figure to the two selected in paragraph 1 above, followed if necessary by lower case letters as described in paragraphs 2 and 3 above. For example: Six or more books by Wilma Donahue having a title beginning with the word Housing would have the call numbers 728.1 D65; 728.1 D65h; 728.1 D65ho; 728.1 D65hou; 728.1 D651; 728.1 D651h, etc.

"Urban Vocabulary" for the appropriate number. (Additional copies may be obtained from the Headquarters Library.) The final step is the assignment of the Cutter number.

b. A temporary arrangement of publications alphabetically by author may be used when a library is quite small. Author, title, and subject access may be provided through the card catalog. However, a subject arrangement facilitates browsing, assisting the users in finding the right books even when they do not know precisely what they want. With such an arrangement, a small library may easily convert to a classified system as the collection grows, and time, personnel, and budget permit.

40. CATALOGING.

a. Descriptive cataloging is the process of establishing the author entry, identifying and describing individual publications in a standardized manner. This basic data includes author, title, imprint (place of publication, publisher, and date), pagination, and the subject and added entries known as tracings. (Figure 19)

b. Subject cataloging is the process of determining a specific word or group of words which best indicates the subject or subjects dealt with in a book or other material.

c. Catalog Cards. For each book in the library, there should be a set of catalog cards. The types of cards are as follows:

(1) Author or Main Entry - This is the basic card and contains all the descriptive and subject cataloging data. (Figure 19)

(2) Subject Card(s) - A duplicate of the main entry, this card has the subject printed in red or capital letters above the author. (Figure 20)

(3) Added Entry - This card represents a secondary entry, any other than the main entry, such as a joint author, editor, corporate body, etc. The added entry is indented and printed above the author on the top line of a duplicate of the basic card. (Figure 21)

(4) Title Card - The title of the work is indented and printed on the top line of a duplicate of the basic card. (Figure 22)

(5) Shelf List Card - Also a duplicate of the main entry,

Figure 19

AUTHOR CARD

Author

Call number — 320
L45u Lineberry, Robert L

Title — Urban politics and public policy, by Robert L. Lineberry and Ira Sharkansky. New York, Harper and Row, 1971.

Place of publication

Publisher

Date of publication

372p.

Number of pages

Subjects — 1. Political science. 2. Municipal government.
I. Sharkansky, Ira, jt. au. II. Title.

Added entries

2265.3

2265.3

Figure 20

SUBJECT CARD

(Subject may be typed in red or capitals)

693.97 STEEL CONSTRUCTION.
A52c American Institute of Steel Construction.
Commentary on the specification for the design, fabrication and erection of structural steel for buildings. New York, 1961.
39p.

1. Steel construction.

Figure 21

ADDED ENTRY CARD

624.131 Demo, Owen R
:308 Link Ernest G
(77598) Soil survey of Kenosha and Racine Counties,
L45 Wisconsin, by E.G. Link and O.R. Demo. Wash., U.S. Soil Conservation Service, in cooperation with University of Wisconsin and others, 1970.
1v.

1. Soil surveys - Kenosha County, Wis. 2. Soil surveys - Racine County, Wis. I. Demo, Owen R. II. U.S. Soil Conservation Service. III. Wisconsin. University. IV. Title.

2265.3

Figure 22

TITLE CARD

711 Automobile parking.
(016) Kessler, Mary Z
C65 Automobile parking: a selected list of
no. 228 references. Indianapolis, Indiana Dept of Commerce, Planning Division Library, 1971. 23p. (Council of Planning Librarians. Exchange bibliography no. 228)

1. Planning - Bibl. 2. Parking - Bibl. I. Indiana. Dept. of Commerce. Planning Division Library. II. Title. (Series: Council of Planning Librarians. Exchange bibliography no. 228.

Figure 23

SHELF LIST CARD

339.3
(789) New Mexico. University. Bureau of Business
N28 Research.
1956, 57
Income by counties in New Mexico, by Vincente T.
2 Ximemes.
copies Albuquerque, N.M., 1957, 58
2 v. illus. (New Mexico studies in business and economics no. 5, 6)

For complete information see shelf list.

1. Income - New Mexico. I. Ximenes, Vincente T.
(Series)

S.L.

this card is arranged in order by classification number, in the same order the publications are filed on the shelf. Usually the shelf list catalog is kept in the work area of the library. It provides an accurate record of the library's holdings and may contain acquisition information on each item. The cards may be distinguished by stamping or typing "S.L." on them. The shelf list file may be used to avoid order duplication, insure classification uniformity, inventory the collection, prevent classification duplication, and indicate the number of books in a class. (Figure 23)

(6) Analytic Card(s) - This card identifies a small unit of information such as a chapter within a book. (Figure 24) For example if a HUD official authors a section in a publication, an analytic card may be made.

(7) "See" Card - A "see" card indicates there is no information under this subject and refers the user to other appropriate headings. (Figure 25)

(8) "See Also" Card - This card refers the user to additional, related material filed under different subject headings. (Figure 26)

41. PREPARATION OF CATALOG CARDS. There are three basic ways a library may produce catalog cards - type the entire set, purchase printed cards, or type the main entry and use duplicating equipment to supply the rest.

a. The Headquarters Library's cards are produced with the use of the IBM Magnetic Tape Selectric Typewriter (MT/ST). This method is best employed where moderate to high volume card work is needed (100 or more publications per week). With this typewriter, it is necessary only to type the main entry card, additional cards with appropriate headings are reproduced by the machine.

b. Regional Methods. The Denver Regional Library types a main entry then uses a mini-duplicator to reproduce additional cards. One or two Regional libraries purchase printed Library of Congress cards and type HUD classification numbers and subject headings on them. The Chicago Regional Library prepares a master unit card and reproduces it on card stock using a standard photocopying machine with variable weight paper feeder. Other Regional Libraries type one card and have the rest printed by an outside contractor.

c. Selecting a Method. The method selected depends on the needs

Figure 24

ANALYTIC CARD

728.1
H6874h Lilley, William III
The homebuilders' lobby, by W. Lilley III, Deputy Assistant Secretary for Policy Development and Research, HUD.

(In Housing urban America, edited by Jon Pynoos and others. Chicago, Aldine Pub. Co., 1973. p. 30-48)

1. Housing. 2. Minority groups - Housing. I. Title.

The purpose of an analytic card is to identify sections of a work not normally brought out in the regular cataloging procedures. The same purpose may be served by cataloging the work as follows.

728.1
H6874h Housing urban America, edited by Jon Pynoos and others. Chicago, Aldine Pub. Co., 1973. 597p.

Partial contents.-The homebuilders' lobby, by W. Lilley III, Deputy Assistant Secretary for Policy Development and Research, HUD.
Bibliography: p. 579-594.

1. Housing. 2. Minority groups - Housing. I. Pynoos, Jon, ed. II. Lilley, William III. The homebuilders' lobby.

Figure 25

"See" Card

HOUSING ABANDONMENT

See

ABANDONED BUILDINGS

Figure 26

"See also" Card

BURGLARY PROTECTION

See also

LAW ENFORCEMENT

of the library and the equipment available. Typing all catalog cards is expensive and time-consuming. Purchasing printed cards is useful only if the company can provide a fast, moderately priced service. Typing a master card for mechanical reproduction has proved most successful in our field libraries as long as the cards can be reproduced quickly and economically.

d. Format. A general format for typing catalog cards is shown in Figure 27.

42. CATALOG CARD FILING. The Headquarters Library uses a modification of the American Library Association filing rules in its card and book catalog. These rules may be found in Volume 19 of the book catalog distributed to all Regions or a copy of the rules may be obtained from the Headquarters Library Cataloging unit.

However, a Regional, Area or Insuring Office Library may wish to use the standard American Library Association rules for filing catalog cards. (See Chapter 17, Library Organizational Guides: A Selected Bibliography)

43. CHARGE CARDS, BOOK POCKETS AND BOOK LABELS.

a. Charge Cards. HUD-750, Library Book Card (Figure 28), may be requested from Headquarters on a HUD-10, Request for Supplies and Equipment. The charge or book card should have the call number, copy number, author, and title.

b. Book pockets (Figure 29) may be obtained at any library supply firm. They are pasted on the back inside cover of the book or pamphlet or on the first blank flyleaf when there are maps or charts. For ease of identification, a book pocket may also bear the classification or call number, copy number, author, and title of the publication.

c. Book labels (Figure 30) are available at library supply firms most stationery stores. The classification number is typed on the label, and the label secured to the lower portion of the book spine. If the spine is too narrow, affix the label to the upper left hand corner of the publication. The classification number is also generally written on the verso of the title page. Thus, if the label is damaged or removed, the relabeling process is simplified.

44. PERIODICAL ORGANIZATION AND CONTROL. A periodical is here defined as a publication issued twice a year or more often.

a. Organization. Periodicals, in the Headquarters Library, are

Figure 27

Rules for the Production of HUD Library Catalog Cards

1. Call number: Start typing call number on the second line from the top of the card. Begin typing two spaces in from the left hand border of the card. Keep the left hand margin uniform for all lines of the call number.

2. Margin for all catalog copy other than call number: Fix this margin by moving to the right two spaces beyond the longest line in the call number.

3. Author entry: Begin typing the name of the author on the third line from the top of the card (on the same line with the second line of the call number). Start the author's name at the margin established in no. 2 above. If the author's name runs to more than one line, indent the second and subsequent lines two spaces to the right of the first line.

4. Title: Indent the title two spaces to the right of the margin established in no. 2 above. Bring the second and subsequent lines of this paragraph out to the margin.

5. Collation: Indent the paging two spaces to the right of the margin established in no. 2 above. Bring the second and subsequent lines of this paragraph out to the margin.

6. Notes: Indent the first line two spaces. Bring the second and subsequent lines of this paragraph out to the margin.

7. Subject headings and added entries: Indent the first line two spaces. Bring the second and subsequent lines of this paragraph out to the margin. Arabic and Roman numerals are followed by a period and one space. When typing such entries as "U.S." or "U.K." do not leave any spaces between initials and periods. However, leave two spaces before typing the next word that follows. (e.g., U.K. Building Research Station.) Follow the same procedure in typing proper names that include initials. Do not space between the initials and the periods tha follow them. (e.g., Simms, L.G., jt. au.)

8. Copy which runs to two cards: At the end of the first card, type these words: (Con't on next card). Position this on the right on the last line on the first card. On the second card, repeat the call number exactly as on the first card. Position the author entry in the same place as on the first card. Follow it by the first couple of words in the title followed by three periods and the date taken from the end of the paragraph in which the title is found. On the second card, the title follows on the same line with the author entry, not on a separate line. One the right hand end of the same line type these words: (Card 2). If there is not enough room on that line, type it at the right on the next line. Then skip one line before continuing typing the rest of the copy.

9. Typing subject headings and added entries at the top of cards: These entries are typed on the lines at the top of the first card. Subject headings are typed in all caps. Added entries are in upper and lower case as shown in the copy. If the entry is one line or less in length, type it on the second line from the top of the card (opposite the top line of the call number). Indent it two spaces to the right of the margin established in no. 2 above. If the entry will run longer than one line, indent the second and subsequent lines two additional spaces to the right of the first line. Move the copy up on the card as necessary to fit it in.

Figure 27

10. Treatment of initials in names of authors and others: In the author entry, do not put periods after initials in the name. Leave five spaces after each initial instead. Do the same for names appearing at the top of the cards as added entries. (However, note that periods without spaces follow initials of persons in the added entry paragraph in the body of the card.)

11. In call number, don't type lower case "L" -- it looks like the numeral one and causes confusion. Handscribe it on cards in black ink, like this, ℓ

12. When the following abbreviations appear in the subject headings -- Bibl., Dict., Direct. -- write the words out in full when typing the subject headings on the tops of the cards -- BIBLIOGRAPHY, DICTIONARIES, DIRECTORIES.

13. When the added entry "Title" appears, the typist is to pick up the title from the copy and type the wording of the title at the top of the appropriate added entry card. Do not put the word "Title" at the top of the card. A title includes all words up to, but not beyond, a colon, semi-colon, or period. If in applying this rule the title exceeds two lines in length, refer title to HUD Library for a decision.

14. When the added entry "Title" is followed by given wording, type this wording at the top of the appropriate added entry card. (e.g., Title: Surface water in Illinois. Type only "Surface water in Illinois.")

15. When the word "(Series)" appears in the tracings, it should be ignored when typing added entry cards -- that is, it appears in the body of the card but is not typed at the top of an added entry card. However, if the entry is "Series:" followed by given wording, type this wording at the top of the appropriate added entry card.

16. Be sure to distinguish between brackets and parentheses.

17. Certain information given in the copy is not to be typed on the finished cards. This includes information on holdings or in regard to open entry material. The cataloger (or librarian) will circle any information that is not to be reproduced by the typist. (e.g., 2c. 1 v. 1969 c.1-Ref.)

18. Number of cards to make: Make four main entry cards (Central Office only), plus one card with each subject heading and added entry typed at the top above the rest of the copy. (See samples)

Figure 27

Positioning copy on cards (Rules 1 - 7)

Main entry card

690.22
H15a Hansteen, Ole Edvard.
Analysis of stress distribution in shear walls by the finite element displacement method. Oslo, Norwegian Building Research Institute, 1969.
77-83p. (Oslo. Norges Byggforskningsinstitutt. Reprint 160)

Reprinted from: IV International Congress on the Application of Mathematics in Engineering. The Application of Computers in Building, Weimar 1967. Reports Vol. 1.

1. Walls. 2. Strains and stresses.
I. Oslo. Norges Byggforskningsinstitutt.
II. Title.

Typing subject headings at top of cards (Rule 9)

Subject heading card #1

690.22 WALLS.
H15a Hansteen, Ole Edvard.
Analysis of stress distribution in shear walls by the finite element displacement method. Oslo, Norwegian Building Research Institute, 1969.
77-83p. (Oslo. Norges Byggforskningsinstitutt. Reprint 160)

Reprinted from: IV International Congress on the Application of Mathematics in Engineering. The Application of Computers in Building, Weimar 1967. Reports Vol. 1.

1. Walls. 2. Strains and stresses.
I. Oslo. Norges Byggforskningsinstitutt.
II. Title.

Figure 27

Typing subject headings at top of card (Rule 9)

Subject heading card #2

690.22 STRAINS AND STRESSES.
H15a Hansteen, Ole Edvard.
Analysis of stress distribution in shear walls by the finite element displacement method. Oslo, Norwegian Building Research Institute, 1969.
77-83p. (Oslo. Norges Byggforskningsinstitutt. Reprint 160)

Reprinted from: IV International Congress on the Application of Mathematics in Engineering. The Application of Computers in Building, Weimar 1967. Reports Vol. 1.

1. Walls. 2. Strains and stresses.
I. Oslo. Norges Byggforskningsinstitutt.
II. Title.

Typing added entries at top of cards (Rule 9)

Added entry card

690.22 Oslo. Norges Byggforskningsinstitutt.
H15a Hansteen, Ole Edvard.
Analysis of stress distribution in shear walls by the finite element displacement method. Oslo, Norwegian Building Research Institute, 1969.
77-83p. (Oslo. Norges Byggforskningsinstitutt. Reprint 160)

Reprinted from: IV International Congress on the Application of Mathematics in Engineering. The Application of Computers in Building, Weimar 1967. Reports Vol. 1.

1. Walls. 2. Strains and stresses.
I. Oslo. Norges Byggforskningsinstitutt.
II. Title

Figure 27

Copy which runs to two cards (Rule 8)

First card

388
(7946) Martin, Darryl B
M17 Feasibility of an exclusive lane for buses on the San Francisco-Oakland Bay Bridge. /Sacramento/ State of California, Business and Transportation Agency, Dept. of Public Works, Div. of Highways and Div. of Bay Toll Crossings, 1969.
30p.
To be presented at 49th annual meeting, Highway Research Board, Jan. 1970.

1. Transportation - San Francisco Bay Area. 2. Journey to work. I. California. Div. of Highways. (Cont'd on next card)

Second card

388
(7946) Martin, Darryl B Feasibility of an exclusive
M17 lane for buses...1969. (Card 2)

II. Title: Buses. III. Title. IV. Highway Research Board.

Figure 27

Typing title at top of cards (Rule 9 for spacing, Rule 13)

Title card

690.22 Analysis of stress distribution in shear walls
H15a by the finite element displacement method.
Hansteen, Ole Edvard.
Analysis of stress distribution in shear walls by the finite element displacement method. Oslo, Norwegian Building Research Institute, 1969.
77-83p. (Oslo. Norges Byggforskningsinstitutt. Reprint 160)

Reprinted from: IV International Congress on the Application of Mathematics in Engineering. The Application of Computers in Building, Weimar 1967. Reports Vol. 1.

1. Walls. 2. Strains and stresses.
I. Oslo. Norges Byggforskningsinstitutt.
II. Title.

Treatment of initials and spacing in added entry (Rule 7)

Added entry card #2

690.22 U.K. Building Research Station.
W66 Wood, R H
A tentative design method for the composite action of heavily loaded brick panel walls supported on reinforced concrete beams, by R.H. Wood and L.G. Simms. Garston, Eng., Building Research Station, 1969.
6p. (U.K. Building Research Station. Current paper CP 26/69)

1. Walls. 2. Brick construction. 3. Concrete, Reinforced. I. Simms, L.G., jt. au.
II. U.K. Building Research Station. III. Title.

Figure 27

Treatment of initials in author's name (Rule 10)

Main entry card

690.22
W66 Wood, R H
A tentative design method for the composite action of heavily loaded brick panel walls supported on reinforced concrete beams, by R.H. Wood and L.G. Simms. Garston, Eng., Building Research Station, 1969.
6p. (U.K. Building Research Station. Current paper CP 26/69

1. Walls. 2. Brick construction. 3. Concrete, Reinforced. I. Simms, L.G., jt. au. II. U.K. Building Research Station. III. Title.

Treatment of initials in added entry (Rule 10)

Added entry card #1

690.22 Simms, L G jt. au.
W66 Wood, R H
A tentative design method for the composite action of heavily loaded brick panel walls supported on reinforced concrete beams, by R.H. Wood and L.G. Simms. Garston, Eng., Building Research Station, 1969.
6p. (U.K. Building Research Station. Current paper CP 26/69)

1. Walls. 2. Brick construction. 3. Concrete, Reinforced. I. Simms, L.G., jt. au. II. U.K. Building Research Station. III. Title.

Figure 28

HUD-750, Library Book Card

711.73 A66 c.3

Appleyard, Donald.
The view from the road.

DATE	ISSUED TO
9-13-73	S. Smith Rm. 1072
	X56344
	10-4-73

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
LIBRARY BOOK CARD
HUD-750 (5-70)

2265.3

Figure 29

Book Pocket

711.73 A66 c.3

Appleyard, Donald.
The view from the road.

2265.3

Figure 30

Book Labels

728.13
B13

arranged alphabetically by title. The "HUD Library Periodicals List" contains all periodicals available in the HUD Library as of March 1971. Field libraries may find the list helpful in establishing title entries, identifying publishers, and the like.

b. Control. There are several systems for periodical control and record keeping. The most common uses a visible card file such as the Remington Rand Kardex or Demco Visible File.

(1) The Kardex or Visible File is a metal file containing a number of shallow drawers in which printed cards are placed so only the lower edge, with the periodical title is visible. (Figure 31)

(2) Kardex cards are available for daily, weekly, and monthly periodicals. (Figures 9 - 11) All periodicals, both purchased and free, are entered on these cards - daily and weekly by date of issue, monthly by date received.

They may also contain acquisition(See Chapter 4, Acquisition of Material, Paragraph 31, Periodicals), bindery, routing or other information. To route periodicals, record the names and room numbers of the persons receiving them regularly on the back of the card or on a routing slip attached to the card.

45. ORGANIZATION AND CONTROL OF LEGAL MATERIALS. In the Headquarters Library, legal publications are cataloged in the same manner as the general material, and the catalog cards interfiled in the general card catalog. Classification, however, differs. The designations "LAW" (Law, Treatise), and "LAW R" (Law, Reference) are used on catalog cards, book cards, and book pockets. The spines of the legal books, with the exception of legal reference and treatises, are not labeled.

a. Legal periodicals should be entered in a visible card file with the general periodicals, but filed with the legal collection.

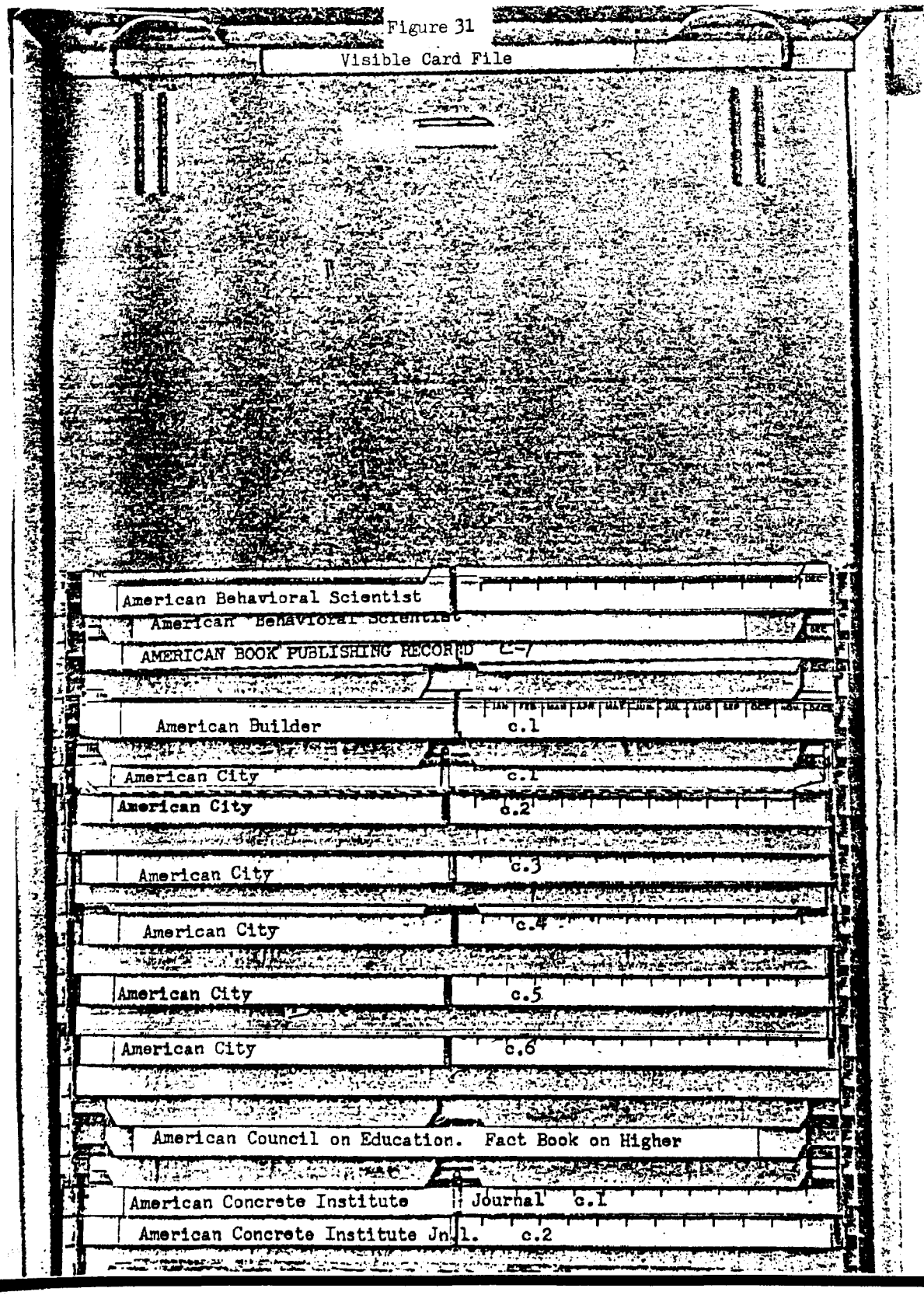
b. Shelf Arrangement. For a suggested shelf arrangement of the legal collection, consult Chapter 6 , Physical Organization of Materials, Paragraph 50, Legal Materials.

46. ORGANIZATION AND CONTROL OF COMPREHENSIVE PLANNING REPORTS.

a. Regional Methods. In most HUD field libraries with established Comprehensive Planning (701) Report collections, the

Figure 31

Visible Card File



reports are arranged alphabetically by state and within state by locality. To provide subject and author approach, standard catalog cards may be prepared for each item with the geographic designation used instead of a call number. In one Region, a subject arrangement with standard catalog entries was preferred by the program managers. Another used full cataloging and classification, integrating the reports with the general collection.

b. The Headquarters Library formerly performed full cataloging and classification of 701 reports. Since 1971, reports have been indexed on selected bibliographic data elements and recorded in a computer system. From this are obtained two lists of reports, one arranged by geographic terms and one by title words (KWIC).

(1) The KWIC (Keyword-in-Context) index is a permuted title keyword index which serves the user much as a subject index. The KWIC index is comprised of an alphabetical array of title entries, one for each significant word in a document title. The words of the title are so positioned as to allow the keyword to remain in a constant position relative to other keywords while the balance of the title is adjusted either to the left or right as space allows. The document title is repeated as many times as there are title keywords, and each entry appears alphabetically under its respective keyword.

(2) Listing the Comprehensive Planning Reports began, as a new feature, with the November/December 1971 of "Housing and Planning References". The KWIC index was added with the May/June 1973 issue.

Of the more than 40,000 reports issued, 29,000 are listed in Volume 19 of the "Dictionary Catalog", and 7,000 under the heading "U.S. HUD. UPAP". The citations in Volume 19 are arranged by geographic place name and KWIC index; those in Volume 17 are completely cataloged.

47. ORGANIZATION AND CONTROL OF MICROFORMS. There are two main types of microforms: microfilm and microfiche.

a. 35 mm microfilm contains at least one page of material per frame.

b. Microfiche is usually a 4 x 6 filing card containing up to sixty or more pages of material.

c. Reader/Printer. Both microforms, of course, require a

mechanical reader for viewing. It is best to obtain a machine that handles both microforms. A reader/printer is more expensive but allows a hard copy to be printed without delay.

d. User Response. Many library users dislike microforms; also color and certain formats cannot be reproduced.

e. Usefulness. Microforms can be extremely useful in a library. Periodicals, newspapers and even legal materials such as the Reporter Systems and Federal Register are available on microfilm. Many research and technical reports may also be obtained in microform. Microform copies conserve space and preserve them in good condition. It is recommended that Regional and Area Office libraries begin building a microform collection and purchase a reader/printer.

f. Catalogs on microforms are available from University Microfilms, 300 North Zeeb Road, Ann Arbor, Michigan 48106.

g. Cataloging information about microforms may be recorded on catalog cards according to standard procedures. An accession number rather than a classification number may be used to identify the microforms.

Figure 32

Filing Sequence

728 B18	728 C65	728 C65f	728 C653	728 C653a
728 C653b	728 C66 1960	728 C66 1961	728 G87	728 S52
728 (016) N17	728 (04) W34	728 (07) H17	728 (41) B78	728 (436) H25
728 :308 M25	728 :333 C31	728 :392 P34	728 :392 (016) A37	728 :392 (493) J12
728 :551.5 B15	728 :551.5 E58	728.1 C25	728.1 C654	728.1 F22
728.1 (519) K67	728.1 (52) J16	728.1 (6) A44	728.1 (330) H25	728.1 :332.6 (73:347) B68
728.1 :333.63 G15	728.1 :336.18 (74932) N28	728.1 :336.18 (7526) B15	728.1 :336.18 (76) A12	728.1 :336.18 (761) C19

CHAPTER 6. PHYSICAL ORGANIZATION OF MATERIALS

48. GENERAL BOOK COLLECTION. If the general collection is organized by the personal or corporate author, the shelf arrangement is alphabetical. If the collection has been classified, the publications are shelved by call number.

a. General filing instructions for the Universal Decimal Classification numbers are as follows:

(1) Call numbers are filed in sequence as shown in the following examples:

(a) 728 Basic number - indicates main subject
C21 Cutter number - indicates author

(b) 728 Basic
(41) Parenthesis - indicates form or geographic subdivision
B16 Cutter

(c) 728 Basic
:308 Colon - indicates continuation of main subject or additional subject
M25 Cutter

(d) 728.1 Basic with decimal
C25 Cutter

(e) 728.1 Basic with decimal
(368) Parenthesis
F37 Cutter

(f) 728.1 Basic with decimal
:21 Colon
A34 Cutter

(g) 728.1 Basic with decimal
:368 Colon
(4) Parenthesis
B68 Cutter (Figure 32)

(2) All numbers including those in parenthesis or following a colon are filed as if they are decimal numbers.

(3) Cutter numbers are filed alphabetically then decimally.

b. Simplified System. Regional, Area or Insuring libraries may wish to simplify this system even further. As indicated in Chapter 5, Technical Organization of Materials, Paragraph 39, Classification, a basic classification number or basic number

with decimal and a Cutter number may be sufficent to adequately identify a publication. If a geographic or form designation is desired, the appropriate number may be added in parenthesis. The Headquarters Library uses Dewey Decimal geographic and form numbers.

Additional information on shelving material classified by the Universal Decimal System may be obtained from the Central Office Library.

49. PERIODICALS in the Headquarters Library are organized alphabetically by title. The arrangement follows the arrangement in the Library of Congress' "New Serial Titles", with two exceptions. Acronyms and abbreviations are filed as words, letter by letter. U.S. corporate entries are filed under the first keyword after U.S. Department of Housing and Urban Development is filed in the letter "H" under Housing. Field libraries, having fewer periodicals than the Headquarters Library, may wish to group U.S. entries together by filing them under the letter "U".

50. LEGAL MATERIALS. Each Regional and Area Counsel's Office should be consulted for recommendations on the physical arrangement of the legal collection. If no particular arrangement is specified, the following may be used.

a. Legal Reference

b. Legal Treatises

c. Legal Encyclopedias

d. Statutes at Large

e. Code Congressional and Administrative News

f. United States Codes

g. Code of Federal Regulations

h. Supreme Court Reporter

i. Federal Reporter

j. Federal Supplement

k. Modern Federal Practice Digest and Shepard's Citations

l. State Statutes

m. State Digests

n. National Reporter System (alphabetically arranged by title)

o. Legal Periodicals

This list was designed to include all types of legal materials. Depending on individual requirements, Regional and Area Office collections will have only those items needed to fulfil their functions. Infrequently used materials may be obtained on interlibrary loan from other nearby legal facilities. (See Chapter 8. Circulation, Paragraph 63, Interlibrary Loans)

To provide the most efficient and effective library service, the legal collection should be located with the general and other library collections.

51. COMPREHENSIVE PLANNING REPORTS in Headquarters Library are filed numerically by accession number. Field collections, organized by state and locality are filed alphabetically by state and within state, alphabetically by locality.

52. OTHER MATERIALS, such as folios and vertical file pamphlets (See Chapter 3, The Collections, Paragraph 19, Organization) alphabetically by author or classified and arranged numerically in the same manner as the general collection. However, specially designed shelving may have to be ordered to accomodate these materials. If they are shelved apart from the general collection, the designations VF (Vertical file) or Folio should precede the classification number.

Microforms are usually filed by accession number and kept in suitable cabinets.

Figure 33

HUD-336

U. S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
OFFICE OF THE GENERAL COUNSEL

REQUEST FOR MATERIALS RELATING TO FEDERAL LEGISLATION

(Submit in triplicate)

TO: **Office of The General Counsel, Department of Housing and Urban Development, Washington, D. C. 20410**

Attention: Legislative Reference Service

FROM: Region _____ **Signed by** _____

Date: _____

Please send additional copies of the following:

NUMBER OF COPIES	NAME OF PUBLICATION, INCLUDING ANY IDENTIFYING NUMBER, SUCH AS PUBLIC LAW NUMBER

Request received by Legislative Reference Service _____ *(Date)*

Request filled by _____ *(Name)* **on** _____ *(Date)*

218887-P HUD-Wash., D. C.

CHAPTER 7. REFERENCE SERVICE

53. REQUIREMENTS. A thorough knowledge of Departmental concerns, programs, and research as well as of the basic reference tools in the field is necessary to provide adequate reference service. The librarian and/or technician should keep abreast of significant issues related to housing and be aware of new developments.

54. SCOPE. Each Regional Office Library should provide maximum reference service to its Regional, Area, and Insuring Office personnel. Outside requesters such as local public agencies, universities, consultants, public groups, etc. should be assisted as much as possible. However, limitations may be placed on the depth or scope of service. A librarian may legitimately refuse to answer non-work related inquiries. When a request is limited or refused, the requester should be referred to an appropriate source for assistance.

55. TECHNIQUE. In responding to an inquiry, the librarian must first establish rapport with the requester. A library is judged not only by the quality of its reference service, but by the manner in which that service is rendered. The librarian should be courteous, patient and understanding.

Secondly, the librarian should clarify the request as people rarely state their actual problem, but ask more generalized questions. Expert probing is necessary to analyze and define a question before seeking its solution. If the problem is technical, the requester may assist by explaining difficult terms or discussing related topics. If the answer to an inquiry cannot be found in the resources at hand, the librarian may borrow the needed materials from another library (See Chapter 8, Circulation, Paragraph 63, Interlibrary Loans) or refer the requester to a more likely information source. A negative response with no further attempt at assistance is poor reference service.

56. INFORMATION SOURCES. A primary source on housing and related material is the Library Division's "Information Sources in Housing and Community Development". It contains information on other Library publications such as "Housing and Planning References", the bi-monthly index to current books, documents, periodicals, HUD and HUD sponsored publications, and Comprehensive Planning Reports, specialized bibliographies like "The Built Environment for the Elderly and the Handicapped", "Citizen and Business Participation in Urban Affairs" and the "HUD Library Periodicals List". In addition, there are key reference and acquisition tools from a variety of organizations and publishers with addresses and prices as an aid to ordering.

a. Other libraries are excellent sources of assistance. Municipal reference, public, state, and university libraries may be willing to establish lending privileges in exchange for HUD materials or a reciprocal loan agreement. (See Chapter 8, Circulation, Paragraph 63, Interlibrary Loans; Chapter 4 Acquisition of Materials, Paragraph 30, Gifts and Exchange)

In seeking information, do not overlook local special libraries. Gale Research Company's "Directory of Special Libraries and Information Centers" edited by Anthony T. Kruzas gives geographic and subject listings of a wide variety of information facilities in the United States and Canada.

b. Regional and Area subject specialists are also useful information sources, particularly if you are trying to locate unpublished or soon to be published data.

57. LEGAL RESEARCH. To perform in-depth legal research requires extensive specialized knowledge. If such knowledge is required in a Regional or Area library, it is recommended that the librarian obtain additional training from a local library school, law school, American Association of Law Schools, Department of Agriculture Graduate courses or other appropriate source. Suggested readings on this topic are listed in the bibliography. (Chapter 12)

To request materials relating to Federal legislation such as public laws and recent committee prints, submit a HUD-336, "Request for Materials Relating to Federal Legislation" (Figure 33), to the Legislative Reference Service, Office of General Counsel, Department of Housing and Urban Development, Washington, D.C. 20410.

Federal legislation may also be obtained by sending a self-addressed franked envelope to the House or Senate Document Room. At the state level, state legislative reference libraries may be contacted for material.

CHAPTER 8. CIRCULATION

58. CIRCULATION PROCEDURES are designed to keep a record of the materials on loan. This protects Government property and permits the location of items not on the shelves. The HUD Library uses the book card system. A book charge card is filled out for each item borrowed with the date loaned, the name, room number and telephone number of the borrower, and the date due. (Figure 28) The card is then filed by the call number, the author's last name, if the item is uncataloged, or by title, if a periodical.

59. LOAN PERIOD. The Headquarters Library charges reserve books for one week, periodicals for two, and other materials for three weeks. The circulation period of law material varies. Reference books do not generally circulate while Comprehensive Planning Reports and Model Cities Plans circulate to Department personnel only.

60. OVERDUE MATERIAL. When an item is kept beyond the loan period, an overdue notice is sent. (Figure 34) If the overdue item is not in demand by another requester, the loan may be renewed for two weeks. Lost or damaged library material should be replaced by the borrower.

61. RESERVE MATERIAL. A requester may obtain an item charged to someone else by placing a "reserve" on it. His name, room number, and telephone number are placed on the book card, and the publication is sent to him when it is returned. If the requested publication is overdue, the librarian should recall it immediately.

The privilege of reserving library materials is extended only to Departmental personnel. Outside requesters are usually informed of the due date, and they may request the material again.

62. INDEFINITE LOAN. Material required for constant use in an office may be assigned for an indefinite loan period, when requested with sufficient justification. An office holding such material should make it available to other HUD personnel if an urgent need arises. Publications on indefinite loan remain library property and are to be returned to the library when no longer in constant use. (Figure 35)

63. INTERLIBRARY LOANS. Interlibrary loan allows libraries to borrow books from one another and expand their resources while avoiding needless duplication. The American Library Association has established interlibrary loan policies and procedures in a pamphlet titled "General Interlibrary Loan Code". One free copy may usually be obtained from library supply houses. Interlibrary

Figure 34

HUD-96 (7-66)
UNITED STATES GOVERNMENT

Memorandum

DEPARTMENT OF
HOUSING AND URBAN DEVELOPMENT

TO :

DATE:

In reply refer to:
ASL

FROM : HUD Library, Room 8141

SUBJECT: Overdue Books, Periodicals

The publications listed below are overdue and should be returned to the library, unless you have further need for them.

Material checked Not Renewable has other requests waiting or has been borrowed from another library.

Please return or renew books on or prior to date due, as this makes them more available to all, and saves the sending of notices.

Publication	Date Borrowed	Date Due	Not Renewable	Please Renew

229021-P HUD-Wash., D. C.

Figure 35

HUD-96 (7-66)
UNITED STATES GOVERNMENT

Memorandum

DEPARTMENT OF
HOUSING AND URBAN DEVELOPMENT

TO :

DATE:

In reply refer to:
ASL

FROM : HUD Library, Room 8141

SUBJECT: Confirmation of Indefinite Loan

Attached are copies of the records of publications charged to you on indefinite loan. If they are not used regularly by your office, we should appreciate their return to the Library.

If you wish to retain these publications, please sign and return the copy of the charge card.

229020-P HUD-Wash., D. C.

2265.3

Figure 36

Standard Form 161, Interlibrary Loan Request

Borrowing Library

Fill in left half of form including both library addresses in full

Fold here

Send sheets A, B and C to lending library and enclose shipping label

Lending Library

Fill in pertinent items under REPORTS, return sheets B and C to borrowing library

Date of request:

Call-No.

A REQUEST

For use of Status Dept.

Author (or periodical title, vol. and year)

Title (with author & pages for periodical articles) (incl. edition, place & date) ☐ This edition only

Verified in (or source of reference)

If non-circulating, please supply ☐ Microfilm ☐ Hard copy if cost does not exceed $_____

Note: The receiving library assumes responsibility for notification of non-receipt.

Standard Form 162
November 1968
Interlibrary Loan Code
Library of Congress
162-101

AUTHORIZED BY: _____
(FULL NAME)
Title _____

INTERLIBRARY LOAN REQUEST

According to the A.L.A. Interlibrary Loan Code and the Federal Library Committee's I.L.L. Code

REPORTS: Checked by

SENT BY: ☐ Library rate ☐ _____

Charges $_____ Insured for $_____

Date sent _____

DUE _____

RESTRICTIONS: ☐ For use in library only

☐ Copying not permitted ☐ _____

NOT SENT BECAUSE: ☐ In use

☐ Non-circulating ☐ Not owned

☐ _____

Estimated Cost of: Microfilm _____

Hard copy _____

BORROWING LIBRARY RECORD:

Date received _____

Date returned _____

By ☐ Library rate ☐ _____

Postage enclosed $_____ Insured for $_____

RENEWALS: (Request and report on sheet C)

Requested on _____

Renewed to _____
(or period of renewal)

☆ U. S. GOVERNMENT PRINTING OFFICE: 1970 — 389 - 157

Loan Request Standard Form 161 (Figure 36) is available from the Government Printing Office, Washington, D.C. for $1.40 per hundred.

When borrowing from other libraries, remember the following points:

a. Verify request (author, title, etc.) before submitting.

b. Pick up and return the material promptly.

c. Don't borrow from one library repeatedly unless there is an understanding that you may do so.

d. If you determine there will be a continuing need for a borrowed item, purchase it for your collection.

e. Borrow only for official use.

The key to successful interlibrary loan is cooperation. A library must be as willing to lend as it is to borrow. However, interlibrary loan agreements should not be maintained at the expense of your own clientele. When possible, reproduce articles rather than lending bound periodicals or one-of-a kind publications. Do not reproduce complete copies of copyrighted materials.

CHAPTER 9. INFORMATION DISSEMINATION

64. ADDITIONAL INFORMATION SOURCES. In addition to its reference and circulation services, a library can disseminate information through the following:

a. Special Subject Interest File - card file by subject or project with names of interested staff members. New material is scanned and routed to appropriate personnel.

b. Acquisition Lists - listings of all new materials to be circulated regularly to the staff. This list is usually arranged alphabetically or by subject and may be annotated. "Housing and Planning References" may also be used as an acquisition list with the Regional or Area holdings indicated. Samples of Regional library lists may be found in Figure 37.

c. Bibliographies - selected reading lists on a specific subject. To avoid unnecessary duplication of effort, the Central Office Library will provide master lists of all its published and unpublished bibliographies.

d. Exhibits - displays on topics of current interest. Cooperation with various program areas on such exhibits can be mutually beneficial.

e. New Book Displays - selected new publications put on display for a limited period, usually one week. Library users may examine and reserve the books for later use.

f. Book Reviews - produced regularly by the Headquarters Library for distribution to Headquarters, Regional, Area, and Insuring Office personnel. They are objective, lengthy reviews of current publications considered to be of particular interest to HUD staff. (Figure 38)

g. Bulletin Board - post book jackets, publishers' announcements, and other pertinent information.

h. Posters - use to publicize library resources, services, and location.

i. Staff Newsletter - brief items on the library, recent acquisitions, etc. should be a regular item or appear as frequently as possible.

j. Library Information Brochures - information about the library facilities and resources for distribution to new employees, outside requestors, other libraries, etc.

Figure 37

Listing of Newly Acquired Publications - HUD Region VIII Library, Denver

(Sample page shown below)

Dobyns, Henry F.
Peasants, power, and applied social changes by Henry F. Dobyns Beverly Hills, Sage, 1972 237p. (Social change)

Edelman, Sidney
Search warrants and sanitation inspections-the new look in enforcement. Reprint from American Journal of Public Health, Vol 58, No. 5, May 1968. Wash., NAHRO, 1968. (Law enforcement)

Falk, Karl L.
Housing problems and tax policies: an international comparison. Wash., NAHRO, 1969. 13p. (Housing)

Federal Power Commission
All electric homes in the United States. Wash., GPO, 1971 (Housing)

Fielding, Byron
Home ownership for low-income families, by Byron Fielding and others. Reprint from Journal of Housing, Vol 26 No 6 (June) and No 8 (Aug/Sep) 1969. Wash., 1969 24p. (Home ownership)

Genung, George R. jr
Public housing: success or failure? Reprint from George Washington Law Review, Vol. 39, No. 4, May 1971. Wash., NAHRO, 71. (Public housing)

Guthrie, Harold W.
The role of earning rates in determining poverty, by Harold W. Guthrie. Wash., Urban Institute, 1973. (Poverty)

Green, Leslie
Urbanization in Nigeria: a planning commentary, by Leslie Green. New York Ford Foundation, 1972. 44p (City planning - Nigeria)

Gutman, Robert
People and buildings. New York, Basic, 1972. 471p. (Architecture)

Hage, Richard E.
The better communities act: the cities speak. Wash., National League of Cities, 13p. (Housing legislation)

Hatry, Harry P.
Issues in productivity measurement for local governments. Wash., Urban Institute, 1973. (Municipal government)

U.S. Dept of Health, Education and Welfare
Charges for care in nursing homes. Rockville, Md., National Center for Health Statistics, 1972 57p. (Nursing homes)

Figure 37A

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
REGIONAL OFFICE
26 FEDERAL PLAZA, NEW YORK, NEW YORK 10007

March 10, 1975

REGION II

IN REPLY REFER TO:

HOUSING AND URBAN RESEARCH

COMPILED BY
THE REGIONAL LIBRARY STAFF

SELECTED
CURRENT LITERATURE

Ashmore, Richard D. and John B. McConahay.
Psychology and America's Urban Dilemmas. New York, McGraw-Hill, 1975. $4.95.

Bednar, Michael J.
Architecture for the Handicapped in Denmark, Sweden, and Holland; A Guidebook to Normalization. Ann Arbor, University of Michigan, 1974. $6.00.

Chandler, Tertius and Gerald Fox.
3000 Years of Urban Growth. New York, Academic Press, 1974. $28.00.

Davidson, Harold A
Housing Demand: Mobile, Modular, or Conventional? New York, Van Nostrand Reinhold Co., 1973. $17.00.

Due Diligence in Real Estate Transactions. 2 vols. New York, Practising Law Institute, 1974. $20.00.

Economic Consultants Organization.
The Mobile Home; An Analysis of Its Potential As a Housing Resource. Syracuse, N.Y., 1972. $8.00.

Field, Donald R., James C. Barron and Burl F. Long.
Water and Community Development: Social and Economic Perspectives. Ann Arbor, Mich., Ann Arbor Science Publishers, 1974. $12.50.

AREA OFFICES
BUFFALO, NEW YORK • CAMDEN, NEW JERSEY • NEWARK, NEW JERSEY • NEW YORK, NEW YORK • SAN JUAN, PUERTO RICO
Insuring Offices
Albany, New York • Hempstead, New York

2265.3

Figure 38

LIBRARY AND INFORMATION DIVISION
U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
WASHINGTON, D. C. 20410

BOOK REVIEW October 29, 1973

City Limits; Barriers to Change in Urban Government, by Diana R. Gordon.
New York, Charterhouse, 1973. 329p. $7.95 (Library call number: 352 G67c)

Diana Gordon, a Harvard Law School graduate, with experience in both federal and municipal government, began her research for "City Limits" while a Fellow at the Institute of Politics at Harvard. It was her previous experience as a New York City government official that led to her assignment to analyze that city's implementation of various programs, primarily those designed to alleviate problems of the urban poor. Her research was undertaken to clarify, if possible, why there is such disparity between intentions and results in governmental programs, and "what part of the answer lies in organizational factors: bureaucratic procedures, personnel, internal politics."

In her introduction, Gordon points out that cities' problems are not necessarily of their own making, and that traditionally

> "local governments have acted only on problems that could be solved with the provision of a limited, tangible service. Fifty years ago New York City spent substantial protions of its budget on sanitation and highways, nothing on public housing or welfare."

In the 1960's, however, many citizens and political leaders with reformist impulses, felt that citizen participation, welfare reform, affirmative teaching in the schools, rehabilitation of prisoners and other social goals could be attained through the application of sophisticated analytic and managerial techniques to local government, thereby halting the decline of the cities. John V. Lindsay was elected Mayor of New York on such a reform platform in 1966.

Mayor Lindsay did fight for his reforms, Gordon says, but was the victim not only of unrealistic expectations, but of the "jurisdictional and managerial problems that seem to many to determine cities' fates more surely than the competence or ideology of the Mayor and his appointees." In support of her contention, she writes:

> "Some of my observations of New York City government have already indicated to me that we have neglected one of the most important forces constraining our ability to bring about change. I have been struck over and over by the importance of patterns of behavior within big-city government agencies, patterns that help determine how a policy imposed from above is interpreted and carried out. . .My own experience suggests that not only decisions but their impact and outcome are shaped by bureaucratic behavior."

From her own, and colleagues' experiences, she synthesizes

(over)

some attempts to bring about change in the New York City government during the Lindsay years (1966-1973). Each was intended to be an innovation, and each, she believes, was a sincere effort to provide service. The specific cases were selected to illustrate one of four phases of *stimulating, defining, implementing* and *sustaining* change. And each was a failure.

Illustrating the results of *stimulus*, the author chose two health problems that outside pressures forced the city to act on—lead poisoning and the drug problem. The first failed because the lead activists did not bring the same kind of pressure to bear on the housing officials as they did on the health people. The second, because the program was deliberately fragmented among a number of city agencies.

"The Sixteen-Story Misunderstanding" recounts the problems that arose over *definition* when the City, in an attempt to implement Mayor Lindsay's concept of citizen participation, tried to negotiate with a group of residents of the Lower East Side over the use of an immense, empty city-owned building. Irresponsible promises by city officials as well as escalation of demands on the part of citizens resulted in confrontations, angry officials and unfulfilled expectations for the citizens.

The problems of *implementation* are illustrated by two records of defeat. One dicusses a three-year struggle between two arms of the City government over a water tunnel; the other examines the behavior problems of workers in a large organization—specifically, the effort to institute reform of correction officers after the prison riots of 1970.

The effects of *sustaining* change are shown in "A Hotel is Not a Home," in which the practice, initiated in 1947, of putting welfare families "temporarily" in hotels, was continuing into 1973, at immensely greater costs.

As Gordon points out, these, or other failures of New York City, are doubtless duplicated in other cities. In every case she describes, the reformers were better able to push for change than were the civil servants, but the reformers were more likely to pin their hopes on process rather than substance. On the other hand, "impediments to change are rooted in rationalizing bureaucracies."

For those readers not familiar with New York City, there may be a plethora of names, but for anyone interested in municipal government, and/or efforts to effect improvements, this book provides a rare insight into the workings of a city administration.

Mrs. Helen S. Boston
Senior Bibliographer

Distribution: W-1, W-2, W-3, R-1, R-4, R-5

k. Tour Orientation - tours of library facility for new employees to acquaint them with library personnel and resources.

CHAPTER 10. FREEDOM OF INFORMATION

65. REGULATIONS. Under the regulations established pursuant to the "Freedom of Information Act", (Public Law 90-23, Public Information Act) HUD information and records are made available to the public.

66. CIRCULAR 1610.3A, " Provision of Information to the Public", states "It is the policy of the Department to make full and responsible disclosure of its identifiable records and information. Thus, although certain types of records are not subject to the mandatory disclosure requirements of the Freedom of Information Act, even these shall be made available upon request unless there is need in the public interest to withhold them. Statutory prohibitions against disclosure, such as 18 U.S.C. 1905, authorize withholding those records which are clearly subject to such prohibitions. Prompt response shall be made to every request of the public for information."

67. REQUESTS OR COMPLAINTS. Non-work related inquiries with which you cannot comply should be referred to an appropriate source for assistance. In handling requests for documents which are exempt from the coverage of the Freedom of Information Act, you should be guided by the provisions of Circular 1610.3A and refer the requests to the designated Information Center Officer in each Regional, Area or Insuring Office.

CHAPTER 11. STATISTICS

68. PURPOSE. Every well-run organization compiles facts and figures about its assets, progress, and volume of business. These statistics are used for management analysis and to justify budget and staff.

69. FREQUENCY. In the Central Office, statistics of key library activities such as acquisitions, reference, and circulation are maintained on a monthly basis by every staff member. The form, HUD-63 Library Statistics (Figure 39), may be adapted for Regional and Area libraries.

Figure 39

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

LIBRARY STATISTICS

Name

Date		TOTAL
REFERENCE		
READERS IN THE LIBRARY		
CIRCULATION		
Books and Pamphlets		
Periodicals routed		
Borrowed from Outside Sources		
	TOTAL	
BIBLIOGRAPHY		
HPR (Items in issue)		
Other bibliographies - Items		
	TOTAL	
ORDER		
Purchase		
Free		
ACQUISITIONS		
Books and Pamphlets		
Serials		
	TOTAL	
CATALOGING		
Publications cataloged		
Cards typed		
Cards filed		
Publications processed		
MAINTENANCE		
Overdue notices and telephone recalls		
Filing and Shelving		
Cards filed (Other than cataloging)		
Typing (If not counted above)		
Discards		
PROGRAM INFORMATION CENTER		
Telephone Calls		
Visitors		
Publications Distributed		

HUD-63 (6-70) Previous edition is obsolete HUD-Wash., D.C. 221071

CHAPTER 12. LIBRARY ORGANIZATIONAL GUIDES: A SELECTED BIBLIOGRAPHY

70. GENERAL.

American Library Association. A.L.A. Glossary of Terms. Prepared under the direction of the Committee on Library Terminology, by Elizabeth H. Thompson. Chicago, 1943. 159p. (020 (03) A52) $4

Baltimore Regional Planning Council. A Report on the Organization of the Regional Planning Council Library. Prepared by Teresa Romanowska- Lakshmanan. Baltimore, 1969. 85p. (026 (7526) B15r)

Council of Planning Librarians. Planning Agency Library Manual. Eugene, Ore., 1964. 27p. (020 C68) $5 (Revised edition, Planning and Urban Affairs Library Manual, also listed. However, this edition has valuable information not included in the revision.)

Knight, Hattie M. The 1-2-3 Guide to Libraries. 4th ed. Dubuque, Iowa, Wm. C. Brown, 1970. 84p. (027 K54o) $2.50

Knobbe, Mary L. and Janice W. Lessell, ed. Planning and Urban Affairs Library Manual. Rev. Monticello, Ill., Council of Planning Librarians, 1970. 82p. (026 K56) $10
A revision of this publication should be available in June or July of 1975.

Petru, William C. and Martha W. West, ed. The Library: An Introduction for Library Assistants. New York, Special Libraries Association, 1967. 79p. (020 P27) $4

Special Libraries Association. "Objectives and Standards for Special Libraries", Special Libraries, Vol. 55, no. 10, Dec. 1964, pp. 672-680.

Strable, Edward G., ed. Special Libraries: A Guide for Management. Rev. ed. New York, Special Libraries Association, 1975. 106p. (026 S77 1975) $8

Weiner, Betty H. Special Libraries: Planning and Operation. Washington, D.C., Educational Resources Information Center, Clearinghouse on Library and Information Sciences, 1971. 34p. (026 W24) $3.29

71. PHYSICAL PLANNING.

Brawne, Michael. Libraries: Architecture and Research Library Buildings. New York, Praeger, 1970. 187p. (027 B71) $21.50

Calderhead, Patrica, ed. Libraries for Professional Practice. London, Architectural Press, 1972. 127p. (026 C15) $11.50

Lewis, Charles M., ed. Special Libraries: How to Plan and Equip Them. New York, Special Libraries Association, 1963. 117p. (026 L28)

Metcalf, Keyes. Planning Academic and Research Library Buildings. New York, McGraw, 1965. 431p. (025 M27) $16

Mount, Ellis, ed. Planning the Special Library. New York, Special Libraries Association, 1972. 122p. (025 M68) $7.50

72. ACQUISITION OF MATERIALS.

Ford, Stephen. Acquisition of Library Materials. Chicago, American Library Association, 1973. 237p. (025.2 F67) $9.95

Melcher, Daniel. Melcher on Acquisition. Chicago, American Library Association, 1971. 169p. (025.2 M25) $8

U.S. Department of Housing and Urban Development. Library. Information Sources in Housing and Community Development. Wash., 1972. 44p. (728.1 (016) H68in) (Lists key book, periodical and film finding guides such as Books in Print, Standard Periodical Directory, etc.) Available free to HUD field libraries; 50¢ at Government Printing Office.

Wulfekoetter, Gertrude. Acquisition Work: Processes Involved in Building Library Collections. Seattle, University of Washington Press, 1961. 268p. (020 W85) $7.95

73. CATALOGING AND CLASSIFICATION

American Library Association. Anglo-American Cataloging Rules. Prepared by the American Library Association and others. North American text. Chicago, 1967. 400p. (025.3 A52 1967) $9.50; pap., $4.50.

Bloomberg, Marty and G. Edward Evans. Introduction to Technical Services for Library Technicians. Littleton, Colo., Libraries Unlimited, 1971. 175p. (020 B56) $8.50

Daily, Jay E. and Mildred Myers. Cataloging for Library Technical Assistants. Wash., Communication Service Corporation, 1969. 110p. (025.3 D14) $4

Freeman, Elsa S. The Universal Decimal Classification in the U.S. Department of Housing and Urban Development. Speech at the United States National Committee, International Federation for Documentation, Subcommittee on the Universal Decimal Classification, technical session, Dec. 4, 1969, Washington, D.C. Wash., 1969. 10p. (Available free to all HUD field libraries from the Central Office Library.)

International Federation for Documentation. Universal Decimal Classification. Abridged English ed. Prepared by the B.S.I. under the auspices of the International Federation for Documentation (F.I.D.) and with the concurrence of the Lake Placid Education Foundation, New York. 3rd ed. rev. London, British Standards Institution, 1961. 254p. (B.S.I. Reports 1000A; F.I.D. publication no. 289) (025.4 I57)

Mills, Jack. The Universal Decimal Classification. New Brunswick, N.J., Graduate School of Library Science, State University, 1964. 132p. (025.3 M45u) $6

Osborne, Andrew D. Serial Publications. 2nd ed. Chicago, American Library Association, 1972.

Seely, Pauline A., ed. ALA Rules for Filing Catalog Cards. 2nd ed. Chicago, American Library Association, 1968. 260p. (025.3 A52 1968) $2

Wellisch, Hans. The Universal Decimal Classification, A Programmed Instruction Course. College Park, Md., School of Library and Information Services, University of Maryland, 1970. 195p. (025.4 W25) $3.50

Wynar, Bohdan S. Introduction to Cataloging and Classification. 4th ed. Littleton, Colo., Libraries Unlimited, 1972. $8.50

74. REFERENCE.

Anders, Mary Edna. "Reference Service in Special Libraries", Library Trends, Vol. 12, no. 3, Jan. 1964, pp. 390-404.

Andriot, John L. Guide to U.S. Government Serials and Periodicals. McLean, Va., Documents Index, 1962- . (351 (016) A52)

Council of State Governments. State Blue Books and Reference Publications; A Selected Bibliography. Lexington, Ky., 1972. 70p.

Hutchens, Margaret. Introduction to Reference Work. Chicago, American Library Association, 1944. $4.50

Schmeckebier, Laurence F. Government Publications and Their Use. Rev. ed. Wash., Brookings Institution, 1969. 476p. (351 (016) S23) $9.95

U.S. Department of Housing and Urban Development. Library. Information Sources in Housing and Community Development. Wash., 1972. 44p. (728.1 (016) H68in) Available free to HUD libraries; 50¢ at Government Printing Office.

Winchell, Constance M. Guide to Reference Books. 8th ed. Chicago, American Library Association, 1967. 741p. (030 (016) W45 1967) $15

Wynar, Bohdan S., ed. Introduction to Bibliography and Reference Work. 4th ed. Littleton, Colo., Libraries Unlimited, 1968. $8.25

75. LEGAL RESEARCH.

American Jurisprudence; A Comprehensive Text Statement of American Case Law... 2nd. San Francisco, Bancroft-Whitney Co., Rochester, N.Y., The Lawyers Cooperative Publishing Co., 1962. 45v. (supplements) (Consult Federal Supply Schedule for price)

Corpus Jurus Secundum; A Complete Restatement of the Entire American Law as Developed by All Reported Cases. St. Paul, West, 1936. 136v. (supplements) (Consult Federal Supply Schedule for price.)

Index to Legal Periodicals. Bronx, N.Y., Wilson, 19 . Monthly. $35 per year

Pollack, Erwin H. Fundamentals of Legal Research, by J. Myron Jacobstein and Roy M. Mersky. 4th ed. Mineola, N.Y., Foundation Press, 1973. 565p. (LAW T P655fu) $12

Price, Miles O. and Harry Bitner. Effective Legal Research. 3rd ed. Boston, Little, Brown, 1969. 503p. $10

76. STATISTICS.

American Library Association. Library Statistics: A Handbook of Concepts, Definitions, and Terminology. Joel Williams, ed. Chicago, 1966. $5.50

American Library Association. National Conference of Library Statistics. Chicago, 1966. $2

NOTE: HUD call numbers and prices are given where available

Assistant Secretary
for Administration

POLICY

LIBRARY SYSTEMS BRANCH
MANAGEMENT AND ORGANIZATION DIVISION
OFFICE OF ADMINISTRATION
OFFICE OF PLANNING AND MANAGEMENT

AUGUST 1975

U.S. ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

U. S. ENVIRONMENTAL PROTECTION AGENCY

LIBRARY SYSTEMS BRANCH

POLICY

August 1975

SELECTION AND DISPOSAL OF MATERIALS

Selection of Materials

1. Materials will be purchased if they are determined relevant to the collection and if:

   a. Headquarters staff, regional librarians, or outside librarians recommend them.

   b. Need is apparent from multiple inter-library loans of the material.

   c. Gaps in the collection are thereby filled.

2. Collection will include books, journals, films, reports, microfiche, maps, charts, documents, etc.

3. Attempts will be made to collect relevant non-published materials and information. Libraries will maintain a directory of persons and organizations likely to be sources of such information in various subjects areas.

4. Desiderata lists can be maintained by librarians to aid in establishing priorities regarding selection of items for purchase.

5. Replacement policy for items missing from library is determined on a similar basis as book selection.

CATALOGING

1. Cataloging of books is accomplished centrally in Cincinnati for the entire EPA Library System.

2. Cataloging of EPA documents and non-EPA documents is performed by each individual library, in accordance with established procedures for the organization of material.

3. Organization of Material:

   a. Books: Shelved according to the Library of Congress scheme.

   b. EPA Documents: PB number

   c. Non-EPA and NTIS Documents: PB and accession number

   d. Periodicals and Newsletters: Alphabetically by title, chronologically within same title

   e. Pamphlets: By subject in filing cabinet

   f. Microfiche:

      1) EPA Documents: PB number

      2) Non-EPA Documents: Filed by appropriate ID number

   g. Microfilm: Alphabetically by title

   h. Theses: Alphabetically by author

CIRCULATION

1. Materials circulate to EPA employee and, through Interlibrary Loan, to other libraries both government and non-government.

2. Materials circulate for as long as needed. Another user's need of the material is the only reason for recall. Periodic checks will be made on loans to remind users they have the material and to ascertain need. Interlibrary loan materials are returned by date due assigned by lending library. Renewals are requested only in rare instances.

3. Reference material and current editions of journals and newspapers do not circulate. Individual libraries can decide on routing of new journals.

4. Xeroxing of materials with a copyright is permissible only for in-house use or for use by other government libraries.

Interlibrary Loans

1. Material not available in the EPA local Library may be borrowed from other libraries for official use. Conversely, material that is needed by the local EPA staff but not available in the local library is obtained from outside sources if possible. No charge is made by the Library for this service.

2. Excluded from interlibrary loans are certain types of material, e.g., non-circulating reference books, exceptionally rare or classified literature, current journals.

3. Libraries should have available, and make use of, the index and bibliographic tools required to fully identify resources that may be wanted from other participating libraries.

4. Materials may or may not be mailed within the metropolitan area to non-government libraries, at the discretion of the local library. Some libraries may require that materials be picked up by the borrowing library. Libraries outside the metropolitan D. C. area receive full interlibrary loan cooperation.

5. Loans will be made to other libraries, but not to individuals.

6. Interlibrary loans circulate for two weeks, through renewals sometimes may be arranged.

7. Requested government reports are sent on microfiche, on a retention basis, if the borrowing library has microfiche capability.

8. Journals will be loaned to non-government libraries; articles will be xeroxed for non-government libraries at the discretion of the individual library.

TRANSLATIONS

Policy

1. A central translation service is provided for the exclusive use of EPA research staff and EPA libraries. This covers all technical documents primarily for translation from foreign languages into English, but translations can also be provided from English into any other language.

2. Requests for translations of legal and administrative or other foreign exchange documents should be directed to Headquarters Library.

3. Charges are made to researchers and to EPA libraries for translation services.

4. Copies of all items translated into English by EPA will be sent to the National Translation Service at the John Crerar Library (Chicago) uncopyrighted items will be sent to NTIS as well. Requests for copies of translations received from outside EPA should be referred to either of the above.

5. Translation services of all abstracting; specified parts of a document; printing; binding; rapid service translating; and are prepared in an editable, reproducable form.

Possible Sources of Material for Translation

1. Information obtained from literature searches by EPA information centers and from other data systems.

2. Material that researchers are given by their counterparts in foreign countries.

3. Citations seen by researchers in journals, field abstract bulletins, and in other general reading.

Procedures: See EPA order 2130.1A

FOREIGN LITERATURE EXCHANGE PROGRAM

1. The international Documents Exchange program, administered through the Office of International Activities, is designed to acquire as much environmental material from other nations as possible through exchange agreements. This permits awareness of other countries' experiences in formulation standards and regulatory controls and provides an opportunity to share information on management and control systems.

2. The Office of International Activities maintains exchange agreements with the environmental agencies of foreign countries. This is often done through agreements between the Administrator of EPA, or his representative, and his counterparts in other countries.

3. Under this program EPA is assembling at the Headquarters Library a reference collection of foreign documents relative to environmental programs and regulatory systems in other countries.