



**U.S. Department of
Transportation**

Office of the Secretary
of Transportation

ORDER

DOT 4420.3A

9-23-82

Subject: DEPARTMENT OF TRANSPORTATION PARTICIPATION IN THE FEDERAL CATALOG SYSTEM

1. PURPOSE. This order prescribes policies, procedures, and responsibilities for Department of Transportation (DOT) participation in the Federal Catalog System (FCS).
2. CANCELLATION. DOT 4420.3, Department of Transportation Participation in the Federal Catalog System, of 10-15-75.
3. REFERENCES.
 - a. Federal Property and Administrative Services Act of 1949 (40 U.S.C. 487) which provides for the establishment of a FCS.
 - b. Federal Property Management Regulation (FPMR) Subchapter E, Part 101-30, which provides policies and guidelines pertaining to participation in the FCS.
 - c. FCS Policy Manual (DOD 4130.2M) which contains policies for the maintenance of the FCS.
 - d. Defense Integrated Data System (DIDS) Procedures Manual (DOD 4100.39M) which prescribes operating instructions for participants in the FCS.
4. BACKGROUND.
 - a. General.
 - (1) The Federal Property and Administrative Services Act authorizes the General Services Administration (GSA) to establish and maintain a uniform FCS to identify and classify personal property under the control of Federal agencies. Under this law, each Federal agency is required to utilize the uniform FCS, except as the Administrator of GSA, taking into consideration efficiency, economy, and other interests of the Government, shall otherwise provide.
 - (2) The Defense Cataloging and Standardization Act (Chapter 145, Title 10, U.S.C.) authorizes the Secretary of Defense to develop a single supply catalog system for the Department of Defense (DOD).
 - (3) Both of the laws cited above require that the Administrator of GSA and the Secretary of Defense coordinate the cataloging activities of GSA and DOD to avoid unnecessary duplication. In consideration of this requirement, GSA has delegated authority and responsibility to DOD to develop and maintain a single uniform FCS for both military and civil agencies.

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- (4) FPMR 101-30 states that each civil agency shall participate in the preparation and maintenance of the civil agency portion of the FCS and in the conversion to and utilization of this system. All activities within DOT are considered to be civil agency participants in the FCS.
 - b. Description of the FCS. The FCS is a single supply catalog system designed to uniformly identify, classify, name, describe, and number the items of personal property used by the Federal Government by providing but one classification, one name, one description, and one item identification number for each item of supply. It provides a standard reference language or terminology to be used for all functions of supply from acquisition to disposal.
 - c. Objectives of the FCS. The objectives of the FCS are:
 - (1) To name, identify, classify, and number each item of personal property to be included in the FCS so that the same item will have a single Federal item identification and a single stock number.
 - (2) To collect, maintain, and publish such Federal Catalog data and related supply management data as may be determined to be necessary or desirable to achieve such benefits to supply management as:
 - (a) Assistance in standardization of supplies and equipment;
 - (b) Reduction in stock inventories and increased rates of turnover;
 - (c) Disclosure of interchangeability and substitutability of items;
 - (d) Use of available Federal supply sources in lieu of commercial procurement;
 - (e) Greater vendor competition and broader sources of supply; and
 - (f) Facilitation of better intra-agency and interagency utilization of supplies, equipment, and excess stocks and more exact identification of surplus personal property.
5. POLICIES. It is the policy of this Department to participate in the FCS to the maximum extent practicable. Departmental elements (Office of the Secretary (OST) and the operating administrations) identified in this Order as "Cataloging Activities" shall fully participate in both the maintenance and utilization of the FCS. All other elements shall utilize the FCS as prescribed in paragraph 7.b. of this Order.
 6. RESPONSIBILITIES.
 - a. The OST Office of Installations and Logistics (M-64) is responsible for:

- (1) Providing overall Departmental policy and guidance in matters pertaining to DOT participation in the FCS;
 - (2) Monitoring and evaluating compliance by the Departmental elements, to the extent required by this Order, with the policies and procedures of the FCS and the use of the FCS by all Departmental elements for supply functions;
 - (3) Representing DOT and maintaining liaison with GSA and DOD on all policy matters related to the catalog system;
 - (4) In coordination with the Departmental elements, determining the appropriate level and method of participation in the FCS by DOT activities; and
 - (5) Reviewing and approving any major changes, as specified in this Order, in the level and method of participation in the FCS by DOT activities.
- b. Each Departmental element is responsible for:
- (1) Compliance with this Order;
 - (2) Ensuring compliance by subordinate elements with the DOD/GSA policies, principles, rules and procedures of the FCS to the extent required by this Order;
 - (3) Maintaining liaison with M-64 on all policy matters related to the FCS;
 - (4) Maintaining liaison with GSA/DOD on all operational matters relating to the FCS; and
 - (5) Ensuring optimum utilization of the FCS in all supply functions.
- c. Each DOT Cataloging Activity is responsible for:
- (1) Compliance with the DOD/GSA policies, principles, rules, and procedures of the FCS and any supplemental DOT or Departmental element instructions; and
 - (2) Performing day-to-day liaison with GSA/DOD on cataloging operational matters as required, and to the extent authorized by Departmental element directives.

7. LEVELS AND METHODS OF PARTICIPATION.

a. Formal Participation.

- (1) Attachment 1 to this Order identifies those Departmental elements that are required to Federally catalog their items of supply in accordance with the criteria set forth in paragraph 8. of this Order. As shown in Attachment 1, these organizations have been established as authorized Cataloging Activities within the

structure of the FCS, and have been assigned a Cataloging Activity Code by the Defense Logistics Services Center (DLSC).

- (2) Consistent with the arrangements indicated in Attachment 1, formal participants shall:
 - (a) Comply with all applicable policies, rules, and procedures of the FCS;
 - (b) Maintain up-to-date catalog data by input and receipt of cataloging transactions on a continuing basis; and
 - (c) Utilize cataloging data consistent with the objectives set forth in paragraph 4.c.(2) of this Order.
 - (3) Formal participants are afforded the following two ways to input cataloging transactions;
 - (a) Direct Submission. Direct submission means the input of cataloging transactions by a DOT Cataloging Activity directly to DLSC or other Government Cataloging Activities. Under this form of submission, the submitter is responsible for ensuring that all cataloging transactions are prepared in accordance with the DIDS Procedures Manual.
 - (b) Submission Through GSA. GSA provides cataloging support, including preparation and transmission of data to DLSC or other Government Cataloging Activities, to civil activities that do not have the capability to perform the total catalog function or to use direct submission. GSA Form 1303, "Request for Federal Cataloging/Supply Support Action", is to be completed and forwarded to GSA when cataloging action is required. GSA will perform research and item identification and forward information to DLSC for assignment of National Stock Numbers (NSN's) and as input into the DLSC data bank.
 - (4) Attachment 1 specifies which DOT Cataloging Activities are authorized to submit cataloging data directly and which activities are required to process cataloging requests through GSA. Any DOT Cataloging Activity desiring to change its method of submission must submit a definitive request to M-64, through their Headquarters office, for review/approval and coordination with GSA.
- b. Informal Participation. Departmental elements not expressly listed in Attachment 1 as formal participants will participate in the FCS on an informal basis. Informal participation consists of:
- (1) Utilizing NSN's for identification of items managed and/or stocked when NSN's have been previously assigned by other Governmental activities;
 - (2) Use of local stock numbers (when the item has not previously been assigned an NSN), identified with the appropriate Federal Supply Class (FSC), for internal supply management purposes; and

- (3) Use of Federal catalog publications to assist in supply acquisition and management processes consistent with the objectives set forth in paragraph 4.c.(2) of this Order.
- c. Change in Participation Status (Formal vs Informal).
 - (1) Should any Departmental element identified in Attachment 1 determine that they should be exempted from formal participation, a request for exemption as set forth in FPMR 101-30.305 must be forwarded to M-64. M-64 will review the request and, if approved, it will be forwarded to GSA for their approval.
 - (2) Should any Departmental element, not listed in Attachment 1, feel that benefits could be derived from formal participation, a request so stating shall be forwarded through the element's Headquarters to M-64 for review and, if concurred in, further processing to GSA. The request must include the number of items managed and/or stocked that would be subject to cataloging in accordance with paragraph 8. of this Order.
 - d. File Maintenance Data.
 - (1) The standard form of mechanized file maintenance data to be utilized by DOT Cataloging Activities is Simplified File Maintenance (SFM), as set forth in the DIDS Procedures Manual. No other form of file maintenance data is to be utilized unless prior approval has been received from M-64.
 - (2) DOT Cataloging Activities shall process the SFM outputs on a timely basis. As changes to items occur in the catalog file that affect supply management files, corresponding changes must also be made to the supply management files.
8. ITEMS TO BE FEDERALLY CATALOGED. DOT formal participants in the FCS shall Federally catalog all items of personal property that are:
 - a. Subject to repetitive procurement, storage, distribution and issue (the term "repetitive" is construed to mean continual or recurring); or
 - b. Selected for stockage for insurance (contingency) purposes; or
 - c. Selected for central management for other logistics support purposes.
 9. ITEMS EXCLUDED FROM FEDERAL CATALOGING. Within DOT, items of personal property in the following categories are not to be federally cataloged:
 - a. In-use property (i.e., items covered by plant property control systems, unless these items otherwise qualify for cataloging in accordance with paragraph 8. above); or
 - b. Items procured on a one-time or infrequent basis and not subject to centralized item management, reporting, or stock control; or

- c. DOT, administration, or local printed forms, charts, manuals, library publications, etc.
10. USE OF NSN's. Subsequent to NSN assignment to an item of supply, the NSN shall be the only stock number used (by both formal and informal participants) to identify that item in all logistics operations. Logistics management codes, or other management symbols, may be associated with but never included as a part of the NSN. These management codes or symbols must always be separated from the NSN in such manner that the NSN is clearly identifiable.
 11. USE OF LOCAL STOCK NUMBERS.
 - a. A Local Stock Number is any stock number assigned by a Departmental element other than a NSN.
 - b. Items requiring the use of a stock number but which do not meet the criteria for Federal cataloging as set forth in paragraph 8. of this Order or items awaiting assignment of NSN's, may be assigned local stock numbers.
 - c. All local stock numbers shall be structured to clearly distinguish them from NSN's. Where applicable, the correct FSC, as set forth in the Federal Supply Classification Cataloging Handbook H2, shall be included as a part of the local stock number.
 12. PROVISIONING AND OTHER PREPROCUREMENT SCREENING.
 - a. Provisioning and other Preprocurement Screening is the mechanized screening of manufacturers' part numbers or NSN's of items against the central catalog files of DLSC. The purposes of the screening procedure are to:
 - (1) Reveal and/or validate existing NSN's;
 - (2) Facilitate item entry control;
 - (3) Obtain all file data recorded against the NSN's;
 - (4) Determine available sources of supply; and
 - (5) Eliminate the cost and effort of describing items which can be identified with items already described in the master central files of the FCS.
 - b. DOT participants in the FCS desiring to utilize mechanized screening shall do so in accordance with the policies set forth in the FCS Policy Manual, and in accordance with the procedures of the DOD Provisioning Screening Manual (DOD 4100.38M).
 13. FCS PUBLICATIONS.
 - a. Listed below are some of the publications available for the use of participants in the FCS. The publications marked with a single asterisk

are needed only by DOT formal cataloging participants. Those publications with double asterisks should be available (either on-hand or access to their use) to both DOT informal participants and formal participants. The remaining publications (or any other FCS publications) can be used by both formal and informal participants at their options. These publications are to be obtained through the Departmental elements' normal publication requisitioning procedures.

- * (1) FCS Policy Manual (DOD 4130.2-M). A manual containing policies and instructions covering the maintenance of the FCS.
- * (2) DIDS Procedures Manual (DOD 4100.39-M). A manual containing operating procedures for the uniform development and maintenance of the FCS.
- * (3) DIDS Materiel Management Decision Rule Tables (DSAH 4140.4). A handbook that reflects Military Service and Civil Agency Supply Management responsibilities and interrelationships, FSC assignments, and the distribution of descriptive and supply management data.
- * (4) Federal Item Identification Guide (FIIG). A guide prescribing standard requirements, formats, and machine oriented coding structure for the collection of item characteristics and other item related logistics data. FIIG's are utilized only by direct submitters.
- (5) Cataloging Handbooks (H Series). A series of publications comprising the cataloging tools used in the FCS. It includes the:
 - ** (a) H2-1: Federal Supply Classification, Groups and Classes, Part 1 and
 - ** (b) H2-2: Numeric Index of Classes, Part 2. The H2 series is used to catalog items in the proper FSC.
- (6) Identification List (IL). A publication containing characteristics or other identifying data for items of supply. The IL is consolidated to contain all active items in the central catalog file that have at least one recorded Federal Service or Agency user.
- ** (7) Master Cross Reference List (MCRL). A master list of NSNs, reference numbers (part, catalog, drawing, etc.), and manufacturers' codes cross referenced to each other. All cataloged items recorded in the central catalog file, except those which are security classified, are in the MCRL. The MCRL is consolidated and published in three parts. Part I consists of data arranged in reference number sequence, Part II is data arranged in National Item Identification Number (NIIN) sequence, and Part III is arranged by Federal Supply Code for Manufacturers and reference number sequence.

- ****(8) Consolidated Management List (ML-C). A publication in NIIN sequence containing supply management data to assist requisitioners in acquiring items of supply. Some pertinent elements included are -- Item Name, Source of Supply, Acquisition Advice Code, Unit Price, Unit of Issue, Shelf Life Code, etc.
- (9) Federal Supply Catalog for Civil Agencies (CAC). A publication containing characteristics and supply management data for items of supply used by Federal Civil Agencies that are in the FSC's managed by the Defense Supply Centers. This publication is consolidated to contain all items managed by the Defense Supply Centers for DOD that have at least one recorded Civil Agency user (other than National Aeronautics and Space Administration, Coast Guard, or Federal Aviation Administration registered items which are excluded from the CAC).
- (10) Provisioning Screening Manual (DOD 4100.38M). A manual of procedures that is used by both Government and industry to search the central catalog file through the input of NSN's and/or manufacturers' codes and part/reference numbers to determine the existence of stock numbered items and to obtain associated data.
- (11) Federal Standard No. 5. A publication containing procedures for use by commercial activities in preparing item identification data for materiel when procurement of such identification data is contractually specified.
- (12) Federal Item Logistics Data Record (FILDR). A microfiche publication containing complete identification data in tabular format for all descriptive-type item identifications. The FILDR is furnished in a hard copy form as a DD-146 card.
- (13) Introduction to Federal Supply Catalogs and Related Publications C1. A series of volumes in booklet form designed to be used as a source of informational data only applicable to Federal Catalog System publications. They include:
- **Volume 1 - Federal Supply Catalog Index of Federal Catalog System Publications
 - **Volume 2 - Federal Supply Catalog Management Data List (ML)
 - **Volume 4 - Federal Supply Catalog Master Cross Reference List (MCRL)
 - **Volume 19 - Federal Supply Catalog General Services Administration Catalog
- b. Many of the FCS publications are prepared in several forms, such as hard copy (paper), magnetic tape, and microfiche. Those available in microfiche have a 48:1 reduction ratio and are on standard 4 by 6-inch fiche to reduce publishing and distribution costs. The microfiche is used with a reader (a projection device to retrieve the microimage information) or viewer-printer (a machine which combines the functions of a viewer and an enlarger-printer).

14. DOT FEDERAL SUPPLY CATALOGS. Departmental elements are authorized to publish and maintain such supply catalogs as they determine to be necessary for supply and other logistics support requirements. Information contained in these catalogs shall be consistent with the FCS, including use of the FSC's, approved item names, and NSN's where applicable.
15. DEPARTMENTAL ELEMENT IMPLEMENTING INSTRUCTIONS. Departmental elements may issue implementing and supplementing instructions pertaining to the FCS as required, provided that such instructions are not inconsistent with this Order and the regulations of the FCS. Copies of all such instructions shall be provided to M-64.

FOR THE SECRETARY OF TRANSPORTATION



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DOT FORMAL PARTICIPANTS
IN THE
FEDERAL CATALOG SYSTEM

<u>Departmental Element</u>	<u>Designated Formal Participants (Cataloging Activities)</u>	<u>Catloging Activity Code</u>	<u>Method of Submission</u>
Federal Aviation Administratiion	Aeronautical Center Depot	48	Direct
	Technical Center	03	Thru FAA Depot
U.S. Coast Guard	Ships Inventory Control Point	XF	Direct
	Brooklyn Supply Center	XG	Direct
	Aircraft Repair & Supply Center	XH	Direct
Research and Special Programs Administration	Transportation Systems Center	01	Thru GSA
Federal Railroad Administration	Alaska Railroad	30	Thru GSA
Maritime Administration	Maritime Headquarters Logistics Staff	46	Thru GSA