

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS

(For instructions on the use of this form see National Archives Manual on the Disposition of Federal Records)

LEAVE BLANK

DATE RECEIVED

SEP 19

JOB NO.

DATE APPROVED

NC - 40 - 76 -

TO: THE ARCHIVIST OF THE UNITED STATES,
NATIONAL ARCHIVES, WASHINGTON 25, D. C.

1. FROM (AGENCY OR ESTABLISHMENT)

Department of Commerce

2. MAJOR SUBDIVISION

Office of Telecommunications

3. MINOR SUBDIVISION

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

4-30-76

Date Acting Archivist of the United States

James E. Gheill

4. NAME OF PERSON WITH WHOM TO CONFER

Ivy V. Parr

5. TEL. EXT.

189-3630

377 -

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for the head of this agency in matters pertaining to the disposal of records, and that the records described in this list or schedule of _____ pages are proposed for disposal for the reason indicated: ("X" only one)

☐ A The records have ceased to have sufficient value to warrant further retention.

☒ B The records will cease to have sufficient value to warrant further retention on the expiration of the period of time indicated or on the occurrence of the event specified.

☐ C The records will have ceased to have sufficient value to warrant retention in their original form by virtue of the fact that the microphotographic copies, made in accordance with standards of the National Archives Council, will be adequate substitutes for the original records.

9-19-75
(Date)

Ivy V. Parr
(Signature of Agency Representative)

Records Mgmt. Officer
(Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><u>OFFICE OF TELECOMMUNICATIONS</u></p> <p>Establishment. On February 9, 1970 the President transmitted to the Congress Reorganization Plan No. 1 of 1970. Pursuant to the plan Executive Order 11556, September 9, 1970 was issued which established a new Office of Telecommunications Policy (OTP) in the Executive Office of the President. The new unit was headed by a Director and Deputy Director who would be appointed by the President with the advice and consent of the Senate.</p> <p>The existing office held by the Director of Telecommunications Management in the Office of Emergency Preparedness was abolished, and its functions were transferred to OTP, Executive Office of the President.</p> <p>The Director, OTP, was made responsible for developing the Executive Branch position on national telecommunications policy, coordinating the planning and operation of the telecommunications systems of the Federal government, discharging responsibilities assigned to the President in the areas of spectrum management and satellite communications, and performing emergency planning and control functions.</p> <p>RG-40; 477 ITEMS</p>		<p>DEPARTMENT OF COMMERCE CONCURRE IN ALL CHANGES MADE HEREIN.</p> <p><i>P.C.T./I.P.</i></p> <p>4-29-76</p>

Copy to Agency 5-5-7600

NCD - 40-76-1

NCD COPY (Lec 20)

OFFICE OF TELECOMMUNICATIONS

RECORDS CONTROL SCHEDULE

SEPTEMBER 1975



U.S. DEPARTMENT OF COMMERCE

CONTENTS

	<u>Page</u>
INTRODUCTION	i-xiv
AUTHORITY	1
OFFICE OF THE DIRECTOR	5
Deputy Director	5
Assistant Director for Program Development and Evaluation	7
Special Assistant to the Director	9
Attorney-Adviser	9
Public and Technical Information Officer	12
(Technical Library)	14
OFFICE OF ADMINISTRATION	16
Administrative Officer	16
Budget Analyst	17
(Printouts)	19
Management Analysis	20
Personnel Program	20
Security Officer	21
Deputy Security Officer	56
Administrative (Office) Services Staff	23
SPECTRUM MANAGEMENT SUPPORT DIVISION	25
Office of the Chief	30
Interdepartment Radio Advisory Committee (IRAC)	33
IRAC Secretariat	43
Frequency Assignment Subcommittee	46
Spectrum Planning Subcommittee	53
Technical Subcommittee	54
(Printouts)	55
(Punch Cards)	55
Ad Hoc Groups	57
Spectrum Evaluation Group	58
Data Base Branch	59
Office of the Chief	59
Data Retrieval Section	59
Application Processing Section	59
Frequency Assignment Review Section	60
Frequency Allocation Support Section	60
Computer Program Development Section	60
(Magnetic Tapes)	60
(Printouts)	61
(Punch Cards)	61
Computer Systems and Operations Section	61
Spectrum Engineering Branch	62

JUN 75

CONTENTS (Cont'd)

	<u>Page</u>
TELECOMMUNICATIONS ANALYSIS DIVISION	65
Office of the Chief	85
(Magnetic Tapes)	87
(Printouts)	87
POLICY SUPPORT DIVISION	89
Office of the Chief	91
(Magnetic Tapes)	94
(Printouts)	95
(Punch Cards)	96
Policy Support Division Detachment-Boulder ...	97
Office of the Chief	98
(Computer Services)	100
(Printouts)	101
(Punch Cards)	101
(Coding Forms)	102
(Microfilms)	102
(Word Processing System)	102
INSTITUTE FOR TELECOMMUNICATION SCIENCES	103
OFFICE OF THE DIRECTOR	114
Deputy Director	118
Consultants to the Director	119
Executive Officer	120
Technical Assistant for Administration and Fiscal Officer, ITS	128
(Printouts)	130
Budget and Finance Officer	132
Public and Technical Information Officer .	136
DIVISION 1 - SPECTRUM UTILIZATION	142
Office of the Associate Director	144
Consultant to the Associate Director	147
Assistant to the Associate Director for Administration	147
(Printouts)	149
Telecommunications Service Center	150
Ionospheric Forecaster	150
(Printouts)	152
Groups (also called "Sections")	154
Project Leaders	159
(Microfilm)	159
(Tapes)	159
(Printouts)	160
(Punch Cards)	161

JUN 75

CONTENTS (Cont'd)

	Page
DIVISION 2 - SYSTEMS TECHNOLOGY AND STANDARDS ..	162
Office of the Associate Director and	
Assistant to Associate Director for Program	
Development	166
Assistant to the Associate Director for	
Administration	168
Groups (also called "Sections")	171
Group Leaders	171
Project Leaders	172
(Magnetic Tapes)	175
(Printouts)	176
(Punch Cards)	177
(Mag Cards)	178
DIVISION 3 - APPLIED ELECTROMAGNETIC SCIENCE ...	180
Office of the Associate Director	183
Consultant to the Associate Director	184
Assistant to the Associate Director for	
Program Development	185
Assistant to the Associate Director for	
Administration	186
(Printouts)	193
Groups (also called "Sections")	194
Group Leaders	194
Project Leaders	197
(Magnetic Tapes)	200
(Printouts)	200
(Punch Cards)	201
(Property Liaison Officer)	202
ALL UNITS	203

LIST OF ABBREVIATIONS

CISC - Community Information Service Center
CTIS - Communication Technology Information System
DOC - Department of Commerce
DOD - Department of Defense
ESSA - Environmental Science Services Administration
FAA - Federal Aviation Administration
FARC - Federal Archives and Records Center, Denver,
Colorado
FAS - Frequency Assignment Subcommittee
FCC - Federal Communications Commission
FMSD - Frequency Management Support Division
GPO - Government Printing Office
GSA - General Services Administration
HUD - Department of Housing and Urban Development
IRAC - Interdepartment Radio Advisory Committee
ITS - Institute for Telecommunication Sciences
NAE - National Academy of Engineering
NARS - National Archives and Records Service
NBS - National Bureau of Standards
NOAA - National Oceanic and Atmospheric Administration
NSF - National Science Foundation
OMB - Office of Management and Budget, Executive
Office of the President

OS - Office of the Secretary, Department of Commerce
OT - Office of Telecommunications, Department of Commerce
OTP - Office of Telecommunications Policy, Executive
Office of the President
PD & E - Program Development and Evaluation, Assistant
Director for
PFB - Provisional Frequency Board
PSD - Policy Support Division
PTIO - Publications and Technical Information Officer, ITS
SHA - Staging and Holding Area operated by the Office
of the Secretary for processing noncurrent
records received from operating offices and u
units.
SSFA - Select Committee on Frequency Allocations
TAD - Telecommunications Analysis Division
TAP - Telecommunications Advisor to the President
WNRC - Washington National Records Center, Suitland, Md.

Section 13 of the order states that the Secretary of Commerce shall support the Director, OTP, in performance of his functions, shall be a primary source of technical research and analysis and, operating under the policy guidance of the Director, OTP, shall:

- o Perform analysis, engineering and administrative functions, including the maintenance of necessary files and data bases, responsive to the needs of the Director in the performance of his responsibilities for management of the radio spectrum,
- o Conduct technical and economic research upon request to provide information and alternatives required by the Director, OTP,
- o Conduct research and analysis on radio propagation, radio systems characteristics, and operating techniques affecting the utilization of the radio spectrum in coordination with specialized, related research and analysis performed by other Federal agencies in their areas of responsibilities,
- o Conduct research and analysis in the general field of telecommunications sciences in support of other Government agencies as required and in response to specific requests from the Director, OTP,
- o Conduct such other activities as may be required by the Director, OTP, to support him in the performance of his functions.

Accordingly, a new Office of Telecommunications (OT) was established as a primary operating unit of the Department of Commerce on September 20, 1970 by Department Organization Order 30-5A. The same order abolished a predecessor constituent operating unit of the Department also designated "Office of Telecommunications" which had been in existence since December 3, 1967, and transferred its functions to the new OT. The Institute for Telecommunications Sciences (ITS) was also transferred to OT from Environmental Science Services Administration with its functions, funds, personnel, property and records. The Institute is located in Boulder, Colorado.

Responsibilities. The responsibilities of OT include those which the Secretary of Commerce is directed by Executive Order 11556 to perform. With these responsibilities the mission of OT is to assist the Secretary in fostering,

ser-ving, and promoting the Nation's economic development and technological advancement by improving man's comprehension of telecommunications science and by assuring effective use and growth of the Nation's telecommunications resources.

Organization. Under the direction of the Assistant Secretary for Science and Technology, the OT is comprised of seven major subdivisions including the (1) Office of the Director, (2) Office of Program Development and Evaluation, (3) Office of Administration, (4) Frequency Management Support Division (includes Interdepartment Radio Advisory Committee), (5) Telecommunication Analysis Division, (6) Policy Support Division, and (7) Institute for Telecommunications Sciences.

Each organization subdivision of OT down through the branch level, or equivalent, maintains its own records in a relationship to other records and in an arrangement that are designed to best serve the needs of the subject unit. This system of recordskeeping is most advantageous because it keeps individual files in close proximity to the primary user and eliminates the growth of a voluminous file requiring a complicated arrangement.

Restrictions on Use of Records. Since OT does not make telecommunications policy, but does conduct research and provides analytical and scientific reports supporting alternative policy positions, if any, to the highest level of telecommunications decision makers, it is essential that the papers concerning certain transactions be held in confidence for a reasonable period of time after the transaction has been closed.

The papers at headquarters, and particularly those at ITS, contain a considerable quantity bearing a national security classification. However, the vast majority of these papers are classified by an agency of origin outside the Department of Commerce.

Binder. For ease of application and maintenance, this Schedule has been prepared in an organizational format wherein the records of each unit are described under its organization title.

If for any reason any records described in this Schedule are transferred from one OT unit to another, or to another agency, such transfer shall have no effect on the provisions of this Schedule so long as the records answer to the same description and serve the same purpose.

All provisions of the General Records Schedules issued by the General Services Administration are superseded by the provisions of this Schedule which covers all OT records except records copies of accounting, personnel and procurement transactions performed by a cross service unit. Appropriate maintenance of these records copies is the responsibility of the unit performing the service.

Permanent Records. It is understood that all items of records described in this Schedule, earmarked for long-term retention by the word ~~Record~~ **PERMANENT** will be offered to the National Archives for permanent preservation, at the appropriate time.

This Schedule is the sole authority for the disposal of all OT records.

Microfilming service for records listed in Items 53, 55, 63, 67, 68, 72 and 81, is provided by the National Archives and Records Service (NARS/NCWM).

JUN 75

All provisions of the General Records Schedules issued by the General Services Administration are superseded by the provisions of this Schedule which covers all OT records except records copies of accounting, personnel and procurement transactions performed by a cross service unit. Appropriate maintenance of these records copies is the responsibility of the unit performing the service.

Permanent Records. It is understood that all items of records described in this Schedule, earmarked for long-term retention by the word ~~PERMANENT~~ will be offered to the National Archives for permanent preservation, at the appropriate time.

This Schedule is the sole authority for the disposal of all OT records.

Reorganization. On February 5, 1975 the Director, Office of Management and Budget informed the Secretary of Commerce that the Office of Telecommunications is to be abolished, and its programs will be consolidated in the National Bureau of Standards.

Current plans are that starting July 1, 1976 OT will be funded through NBS. This will involve some changes, but none that will involve more than a modest revision of this Schedule to keep it viable.

Currently, it is impossible to foresee and include in the Schedule provisions that would anticipate and apply to organization changes that the Secretary might make sometime after the beginning of fiscal year 1976. Whatever such changes might be, to accommodate them, and keep the Schedule current, it will only be necessary to revise it following the procedure provided for that purpose in the Introduction.

OFFICE OF THE DIRECTOR

The Director, OT, is the ranking official of the organization and is responsible for executive direction of all elements of its program and activities. Besides the Director, the OT Directorate (immediate office of the Director) includes the Deputy Director, the Special Assistant to the Director, and the Attorney Adviser.

The papers generated by the Deputy Director are interfiled and maintained with those of the Director. Most of the papers created by the Assistant Director for Program Development and Evaluation are maintained separately in his office, however, a small quantity of these papers are duplicated in the files of the Director as would be expected.

The Special Assistant to the Director maintains a separate file of supporting papers on projects that are assigned to him and copies of Directorate correspondence with which he is specially concerned.

1. Directorate Correspondence File - This contains record copies of all papers generated or collected by the Director and the Deputy Director which document their executive decisions on policies, programs and activities of the Office of Telecommunications. The Director makes recommendations and proposals to the Office of Telecommunications Policy, Executive Office of the President and to the Secretary of Commerce with respect to the telecommunication policy and position of the United States.

The file contains the yellow record copy of all outgoing items with related incoming material which are generated by the Director or Deputy Director. However, the record copies of correspondence prepared at the division level are maintained by the drafting unit. Only a blue copy of such outgoing items are maintained in the Chronological File supporting this file.

The papers in this file arranged by the names of organizations or functional areas arranged in accordance with their location in the organizational hierarchy.

The papers are rich with data concerning telecommunications determinations and programs as they developed at the

JUN 75

highest levels of authority. Conversely, they may comprise a source of information of the greatest significance to scholars of the future concerned with telecommunications history and technology.

6 C.F. **PERMANENT**
2 C.F. Annually ~~Retain.~~ Start a new file at the beginning of each decennial and quinquennial year. Retire to SHA 1 year later and offer to the National Archives 1 year later.

2. Chronological File - This contains a blue tissue copy of each outgoing item produced by the Director and Deputy Director plus a copy of each outgoing item submitted to them for their information, review and approval. Papers in the file are arranged chronologically and are maintained for current use as a source of quick reference and as a finding aid to the Directorate correspondence file.

Researchers using the Directorate Correspondence File in the future will have a great need for this file in order to determine the scope and nature of data in the Directorate Correspondence File.

1.5 C.F. **PERMANENT**
2 Folders annually ~~Retain.~~ Start a new file at the beginning of each decennial and quinquennial year. Retire to SHA 1 year later and offer to the National Archives 1 year later.

3. OT Publications - This consists of a record set of one copy each of all publications produced and issued by OT.

8 C.F. **PERMANENT**
6-8 books annually ~~Retain.~~ Retire to SHA when no longer needed for current business and offer to the National Archives when sufficient volume accumulates.

Tech. Reports

4. Administrative Subject File - This contains office copies of papers pertaining to the personal movement and commitments of the Director and Deputy Director. Record copies of these papers are maintained, as appropriate, elsewhere. These are copies that are maintained only to help the officials concerned to coordinate and maintain their personal involvements in OT's programs and activities.

Dispose when they have served their purpose.

Assistant Director for Program
Development and Evaluation

5. Program Subject File - This contains the vast majority of the papers generated or collected by the Assistant Director on all subject areas for which he has responsibility except: (1) papers documenting program plans for a specific fiscal year which are filed separately, and (2) a small quantity of papers which do not readily lend themselves to filing under a specific subject heading. These are filed separately by organization title and name of the originator of the document.

A sampling of the subject headings is provided to present an accurate view of the scope and content of the file:

- Accomplishments - SMSD
- Accomplishments - ITS
- Accomplishments - OT in General
- Accomplishments - OT Library
- Accomplishments - PD and E
- Accomplishments - PSD
- Accomplishments - TAD
- Aeronautics and Space Report of the President
- Advanced Information Technology
- Briefings for Assistant Secretary for Science and Technology
- Broadcasting
- Cable TV
- Computer Communication Interface Standards
- Decision Analysis
- Defense Communications
- Energy Conservation
- Five Year Plan
- Goldmarks New Rural Society Project
- Ionospheric Modification
- Issue Study
- Loran
- Mission, OT
- Model Telecommunications Project (ITS)
- NAE Advisory Committee - (Basic Policy)
- Northern Great Plains Resource Program
- Planning, OT
- Potential Research Topics
- Radio Prediction Propagation Service

JUN 75

Role of OT
Satellites, Communications

These papers constitute a prime source of data on the origin, development and impact of the various OT programs. These data might very well have great significance in the future for researchers from several disciplines.

PERMANENT

- 3 CF ~~Retain.~~ Move active papers forward and start a new
1 CFA file at the beginning of each decennial and quin-
quennial year. Retire to SHA 6 months later and
offer to the National Archives 1 year later.

6. Program Plans File - This contains the program plans for each fiscal year and a five year long-range plan with supporting documentation including the data generated in developing the plan on the financial trail, goals and objectives, budget calendar, program category summary table, guidance from OMB, PM draft, budget preview PM, and appropriate data on the five year plan currently under development.

The plans are arranged by fiscal year and they contain information that will be useful in the future to historians and other researchers.

PERMANENT

- 1.1 CF ~~Retain.~~ Retire to SHA in annual consignments when
1.5 CFA no longer needed for current business, and offer
to the National Archives 2 years later.

7. General Program Planning and Evaluation File - This contains the residue of papers generated by the Office that are found to be unsuitable for filing under any of the subject heading of the Program Subject File. These papers are not included in the Program Subject File because their subject content is not restricted to any one subject heading appearing in that file.

The papers are arranged under the names and/or the organizational title of the originators. Although, it is hard to justify maintenance of these papers along with those found in the Program Subject File, nevertheless, it is impossible to satisfactorily justify destruction of them sooner since the two files are so closely related.

JUN 75

3 CF PERMANENT
1 CFA

Retain. Move active papers forward and start a new file at the beginning of each decennial and quinquennial year, retire to SHA 6 months later and offer to the National Archives 1 year later.

Special Assistant to the Director

8. Special Projects Support Papers - These include the background and workpapers generated or collected by the Special Assistant to the Director in the process of completing assignments for the Director and Deputy Director pertaining to program, policy, technical, operational and unanticipated inquiries and problems covering the whole spectrum of OT responsibilities and activities. Record copies of documents generated by the Special Assistant are included in the Directorate Correspondence File. However, the background papers retained by the Special Assistant contain a great deal of supporting data that do not appear in the Directorate Correspondence File.

Move active folders forward, retire all others to SHA when 1 year old, transfer to WNRC 1 year later. Dispose when 5 years old.

9. Chrono File - This is a copy of each outgoing item produced by the Special Assistant arranged in chronological order. These papers are maintained for convenience of reference, however, they occasionally have a unique value because so many of the assignments involved have a critical time limitation.

Dispose when 1 year old.

Attorney-Adviser

As the staff attorney at law principally assigned to the Office of Telecommunications, legal adviser to the Director and other senior officials of OT and of the Department, and a Deputy Counselor (on employee responsibility and conduct including conflicts of interest) designated pursuant to DAO 202-735 and DAO 202-735A, the Attorney-Adviser is responsible for:

JUN 75

- o Providing legal advice concerning the programs; responsibilities and operations of OT, in the form of formal opinions and interpretations, or in informal documents, as is most appropriate, and preparing necessary communications or implementing documents relative to such advice or to litigation, court decisions and legal proceedings in regulatory agencies with respect thereto;
- o Preparing any legislation proposed by OT, and for reviewing and preparing (after appropriate coordination) comments on drafts of legislation sponsored by other organizations, or bills introduced in the Congress, that are of primary interest to OT and/or the Department; and
- o Keeping abreast of the actions relevant to OT's program and mission which are taken by regulatory agencies or courts, and preparing documents proposed to be submitted to such agencies or the Department of Justice, as appropriate.

As the staff attorney principally assigned to a primary organization, the Attorney-Adviser is subject to the professional supervision of the Department's Assistant General Counsel for Science and Technology as provided in the Attorney's position description. Consequently, he is often asked to prepare legal opinions, interpretations or position papers for submission through the Director, OT, or the Assistant General Counsel for Science and Technology for the use of Secretarial officers or their immediate assistants in their decision-making processes.

10. Legal Opinions and Interpretations - These are record copies of the formal opinions and interpretations of the Attorney-Adviser (whether in the form of brief, memorandum, correspondence, or other writing) construing or applying existing law, or prepared in the course of or concerning current litigation, or which relates primarily to the administration of OT.

In many instances, these papers contain information or determinations that will have an impact on the administration of OT (and occasionally of other offices relying upon the same legislative authority) for many years to come. Some of the administrative matters to be kept in this file will involve significant issues of substantive communications law, as well.

Accordingly, the file as a whole will be of long term value, not only to OT in the administration of its activities, but also to legal and other Scholars who are concerned with issues of communications law or policy.

2.5 CF PERMANENT
1 CFA ~~Retain.~~ Start a new file at the beginning of the decennial and quinquennial year and move active file folders forward. Retire all other papers to SHA and offer for transfer to the National Archives 1 year later.

11. Regulatory and Legislative Activities File - This contains copies of documentation prepared by the Attorney-Adviser on the rules and regulations and proceedings of administrative agencies or courts on matters which are relevant to OT's program and mission, and which involve OT, other agencies of the Department or Secretarial Officers, as direct participants, or in support of direct participants. The file also includes materials collected or received by the Attorney-Adviser as a formal part of the activities or proceedings to which the prepared documents pertain. Materials collected or prepared in connection with activities or proceedings which relate primarily to the administration of OT, as opposed to achievement of its programmatic objectives, are filed under Opinions, Interpretations and Legislation, instead. The file also contains legislative proposals and comments on bills and draft legislation prepared by the Attorney-Adviser. The legislative materials cover significant legal and policy issues in the field of telecommunications.

Documentation of direct or supporting participation at the Departmental or OT level is deemed to have value for the use of the professional community involved in the future in shaping the content and thrust of the regulation of telecommunications or of the effect of other areas of law upon telecommunications.

1 CF PERMANENT
1.5 CFA ~~Retain.~~ Start a new file as needed and move active papers forward. Retire all other papers to SHA in consignments of not less than one records center box full. Offer for transfer to the National Archives 1 year later.

12. Legal Counseling and Program Planning - Legal counseling documents are prepared, received or collected in the course of advising on problems which are sufficiently routine from

JUN 75

an attorney's viewpoint as to permit him to act through documents which do not have the formality or substance of documents to be filed in the Opinions, Interpretations and Legislation file. The distinction between these two files is based less on form than on professional evaluation as to the novelty or complexity of the issues involved, or the significance of the issues impact upon OT or the Department. The file will also contain documents prepared, received or collected by the Attorney-Adviser as he contributes to OT's program planning process.

After the lapse of a period long enough to allow for adequate exploitation of these papers as a source of supporting data created as the point of initiation or as examples for the subsequent performance of similar routine activities, they appear to have no further value. To the extent that the file contains material prepared for signature by other officers or employees of the Government, record copies thereof are maintained elsewhere, usually in the official custody of the signatory.

Start a new file at the beginning of each decennial and quinquennial year and move action papers forward. Retire all other papers to SHA and transfer to WNRC 1 year later. Dispose when 20 years old.

13. Information, Secondary Source Material and Correspondence File - This contains information and secondary source material received or gathered by the Attorney-Adviser and organized and maintained by him in file folders for convenience of reference in the performance of his official duties. It also contains copies of incoming and outgoing correspondence or other written materials, that do not deal with a specifically substantive transaction, but have a general usefulness to the Advisor Attorney in carrying forward his daily responsibilities.

Dispose of individual documents or contents of inactive file folders when they have clearly served their purpose or when 5 years old, whichever is sooner.

includes HQ & Box 202

Public and Technical Information Officer

14. OT Publications - This consists of a record set of one copy of all publications, including film and 35mm slides and tapes produced and issued by OT.

JUN 75

6 CF

PERMANENT

2 CFA

~~Retain.~~ Retire to SHA when no longer needed for current business and offer to National Archives.

15. Public Information Files - This contains copies of all papers produced or collected by the Public and Technical Information Officer, OT in the course of providing the public as well as other government agencies with information concerning the development, program, and technological accomplishments or findings of OT. The papers are arranged in accordance with a subject numeric classification scheme developed by the Information Officer.

The file contains documentation of the whole array of responsibilities and activities assigned to the Information Officer.

Consequently, some parts of the file are related to house-keeping and other activities of little consequence after the transactions have been completed. Other parts of the file, however, contain data that may very well prove to be a considerable value of future researchers interested in OT.

Present requirements under the Information Officer puts in operation an automatic skimming process that enables the Information Officer to always know what parts of the file have continuing value as opposed to those that have only a temporary value.

As a part of the OT Directorate, the papers of the Public and Technical Information Officer are very closely related to the other files created by members of the Director's immediate staff. This supports and facilitates the skimming process referred to above.

- a. Dispose of all housekeeping papers when they have served their purpose.

PERMANENT

4 CF

1.5 CFA

- b. All Other Papers - ~~Retain.~~ Retire to SHA at the beginning of the decennial and quinquennial year and offer to the National Archives.

JUN 75

(Technical Library)

16. Public Correspondence File - This contains incoming and outgoing correspondence concerning the informational resources of the OT Library and the availability of materials on various subject areas. There is also some correspondence pertaining to the inclusion or exclusion of particular materials in the collection maintained by the Library.

Dispose of individual documents or contents of file folders when 1 year old.

17. Internal Correspondence File - This contains incoming and outgoing correspondence between the Library and other elements of OT, Commerce, and other Government agencies concerning the administration of the Library including acquisition of publications, minutes of meetings and the like.

Move active papers forward and dispose of all others when 1 year old.

18. Inter-Library Loans - This consists of copies of a form requesting responses on materials on inter-library loan.

Dispose of individual documents or contents of file folders when 2 years old.

19. Publication Acquisitions File - This contains documentation of the publications procured and subscriptions for periodicals for the Library. The file also contains some papers relating to the acquisition of certain items by other means such as gifts, inter-library exchanges, and items received from the Superintendent of Documents and the National Technical Information Services.

Move active files forward and dispose of all others when 2 years old.

JUN 75

usually in record but there are receipts
20. Newspaper Clippings - These consist of clippings from all elements of the printed media of articles directly pertaining to, or of special interest to, OT. The articles are arranged by a subject numerical system in standard file folders.

This material might very well prove to be of great value to future researchers interested in the program or development of OT.

1.5 C F PERMANENT

Retain. Retire to SHA when no longer needed for
.5 C F current business and offer to the National Archives.

21. Request for Material from Defense Documentation Center - These are form requests for material from the Defense Documentation Center which is frequently National Security Classified. Consequently, the Librarian secures the signature of the OT employee receiving the material on the request form and retains it as a receipt for the material whether or not it is security classified.

Dispose of individual documents when security and all other accountability for material received has been satisfied.

22. Card Catalog - This consist of 3 X 5 cards describing each item in the Library arranged alphabetically by author, title, subject or source. This is the usual finding aid to the collection found in libraries generally called "The Public Catalog".

Dispose of individual cards when the publication is withdrawn from the collection or the card is obsolete for some other reason.

JUN 75

OFFICE OF ADMINISTRATION

Administrative Officer

The Administrative Officer provides analysis and assistance for the Director toward developing or improving the management systems of the office. He also serves as the principal assistant and advisor to the Director on administration management and support functions, including: procurement, accounting, budgeting, personnel services, property management, security, emergency planning and civil defense office services (such as mail, messenger, communications, and duplicating) and office management (such as records and forms management).

23. Administrative Management File - The Administrative Officer is responsible for the administration of the fiscal, personnel and office services programs of OT. In addition, he serves as the secretariat for the Executive Advisory Board and issues and maintains a historical set of the Administrative Instructions Manual.

This file contains record copies of all papers collected or generated by the Administrative Officer in his capacity as the official having primary responsibility for the administration management of OT under the general supervision of the Director, OT.

The papers are arranged alphabetically by subjects, examples of which are as follows: Accounting Principles and Standards, Administration Instruction System, ADP Services, Agreements, Bi-Centennial Activities, Advisory Committees, Contract, Energy Conservation, Equal Employment, Field Sites (OT), Forecast System, Grants, Information Services, Labor Management, Management Meetings, Objectives (Presidential), OT/OTP Support Agreements, Personnel, Procurement, Program Memorandums, Program Planning, Publications, Space, State and Local Governments, Travel and Work Hours.

The Centralized Personnel and Procurement services of the Office of the Secretary are utilized by OT, while the National Bureau of Standards provides it with accounting services.

JUN 75

These papers constitute the prime source of data concerning the development and implementation of the administrative programs and policies of the OT, and they should be retained longer to allow oversight of the full perspective.

Move active file folders forward and retire all others to SHA when 3 years old, transfer to WNRC 1 year later. Dispose when 15 years old.

24. Administrative Instructions Manual - This is a record copy of every administrative instruction issued under the manualized system now used by OT.

inc 3rd binder **PERMANENT**

~~Retain.~~ Retire to SHA when no longer needed for current business and offer for transfer to the National Archives 1 year later. *Committee File*

25. Executive Advisory Board - The Board advises the Director and other senior officials regarding program and other problems areas with which OT is concerned.

This is a record set of the agendas and minutes of Board meetings that are produced and maintained by the Administrative Officer. Copies distributed to other concerned offices are workpapers and may be destroyed when they have served their purpose without any further authority.

PERMANENT

1 CF ~~Retain.~~ Retire to SHA when no longer needed for current business and offer to the National Archives 1 year later. *.25 CFA*

Budget Analyst

26. Budget Formulation Papers - This is a subject file containing ruling, legislation, directives, agreements, contracts, and other authoritative papers pertaining to the formulation and presentation of the budget.

Ordinarily, these papers are only referred to annually in the course of initialing and preparing drafts of budget submissions. However, some of the papers overlap the fiscal year under examination and remain active several years thereafter.

JUN 75

These papers are used by the Budget Analyst as a source of guidance during the 5 year budget cycle. After the papers have served this purpose they appear to have no further value.

The papers are arranged alphabetically by appropriate subject heading.

Dispose of individual documents or contents of file folders when they have served their purpose or when 5 years old, whichever is sooner.

27. Operating Budget Papers - These include fiscal plans for OT and the documentation generated or collected by the Budget Program Analyst to document and relate the fiscal condition of OT during the current fiscal year, however, record copies of all documents found in the file that are included in the audit tract are maintained in the Office of Administration, Accounting Division of the National Bureau of Standards (NBS).

Although, OT receives a considerable portion of its funds from other government agencies for telecommunications services rendered to them, these funds are budgeted and accounted for in the same manner as the appropriated funds received by OT.

Since NBS maintains the record copies of all OT accounting documents, these papers are generated solely for the purpose of keeping senior OT officials informed of the current financial position of OT. The papers are arranged alphabetically by appropriate subject headings, and they appear to have no value after they have served their purpose.

Dispose of individual documents or contents of file folders when 3 years old.

28. Budget Submissions - This includes the submissions of constituent units of OT to the Budget Program Analyst who develops from these and related papers the Secretary's submission, OMB submissions and finally the submission to Congress of the budget for each fiscal year. In short, this file contains copies of all OT budget submissions and the supporting papers arranged by fiscal year and thereunder by subject headings.

JUN 75

These papers appear to lose all significant value after the expiration of a short period of time following the termination of a particular 5 year budget cycle.

Dispose when 6 years old.

(Printouts)

29. Preliminary Printouts - These are prepared as feeder reports for use in managing the operating budget and in preparing fiscal submissions to higher authority. Additional or different printouts may be produced from time to time, however, those involved at the moment are:

1. Schedule of Bi-Weekly Hours and Gross Earnings
2. Cost Center Status Reports
3. Cost Center Title File
4. Analysis of Pre-Determined Overhead Rates
5. Unliquidated Obligations
6. Other Object Transactions
7. Organization Roster

These are printouts supplied by NBS of listings of the labor costs and other objects of expense incurred by OT during a bi-weekly period. These listings are used as a source of data needed by the Budget Program Analyst to prepare a monthly fiscal report for senior OT officials that advises them of the current financial status of OT.

These listings are produced from intermediate tapes written from the master type maintained by the Office of Administration, NBS.

These bi-weekly listings supplied to OT appear to have no value after they have served their purpose since more complete and accurate information can be produced after the expiration of a short period of time by NBS from the tapes which it holds.

Dispose when they have served their purpose or when 2 years old, whichever is sooner.

JUN 75

Management Analysis

Plans, directs and coordinates the internal activities of OT which include: (1) clarifying and defining objectives, functions, and organizational relationships; (2) conducting surveys to assure effective administration in terms of manpower utilization; (3) developing and implementing administrative management systems; (4) promoting management improvement; and (5) providing counsel and advice on management matters to OT officials.

30. Reports and Management Transactions - This contains office copies of reports that are generally submitted to higher authority in the Commerce Department for computation of a Departmental Report covering a broader organizational area for submission to a regulatory or some other government agency. It also contains office copies of papers generated by the analysts in connection with the above listed activities.

These papers are physically or essentially duplicated in record copies maintained elsewhere. They appear to have no further value after they have served the purpose of the management analyst or the lapse of a short period of time to permit occasional verification of data.

Dispose when they have served their purpose or when 2 years old, whichever is sooner.

Personnel Program

31. Personnel Name Folders - This consists of one or more folders with the name of an active employee on them arranged alphabetically.

The folders contain office copies of Notification of Personnel Actions, job descriptions, request for personnel action, and related papers concerning the subject employees. The papers are maintained as a convenient source of reference in responding to the demands of higher authority and the internal management of OT personnel.

The information in this file is physically or essentially duplicated in record copies maintained by the Office of Personnel, Office of the Secretary (OS) and elsewhere.

Dispose of individual folders 1 year after separation of the subject employees.

JUN 75

32. Personnel Reports and Information File - This contains office copies of reports required by the Office of Personnel, OS, or some other higher authority, and copies of some reports prepared for internal personnel management use. The file also contains work copies of directives and other authoritative issuances on personnel management matters.

These papers are physically or essentially duplicated in record copies maintained in the Office of Personnel, OS, or elsewhere.

Dispose of individual documents or contents of file folders when they have served their purpose or when 5 years old.

33. Job Applications - These are applications from persons seeking employment arranged alphabetically by the names of subject individuals.

- a. Successful Applications - Forward to Office of Personnel, OS, as appropriate.
- b. Unsuccessful Applications - Dispose when 2 years old.

34. Training Courses - This file contains material which describes training courses available to OT employees during the fiscal year. It also includes documentation of the training taken by each OT employee during the fiscal year, which are duplicated in the Official Personnel Folder.

Dispose of individual documents when they become obsolete or served their purpose.

35. Job Descriptions - This is a collection of relevant job descriptions maintained in three-ring binders for convenience of reference.

Dispose of individual documents when they become obsolete or served their purpose.

Security Officer

The OT Security Officer is responsible for installing, maintaining, inspecting, and advising on matters pertaining to procedures and controls for safeguarding classified materials that are received by, in transit, through, or maintained within OT.

JUN 75

In addition, the OT Security Officer is responsible for insuring that all employees are given adequate instructions in the security regulations and procedures.

There is also a Deputy Security Officer, who will serve when the Security Officer is absent or unable to serve.

36. Security Subject File - This file contains record copies of all papers generated by the incumbent in his capacity as Security Officer for OT. The papers are arranged under subject headings such as: Authority to Classify, Classified Document Data Index, Building Security, Indoctrination of Personnel, Letters - Incoming and Outgoing, Monthly Reports, Reports of Destruction, and Security Instructions.

The Security Officer maintains record copies of clearances, classification, authority, declassification and document controls and accounts. The papers are so arranged that is most economical to maintain them all for an optimum period consistent with their value, rather than attempt to assign more reasonable periods for the disposal of small segments of papers from the file.

Dispose of individual documents or contents of file folders when 15 years old.

JUN 75

Administrative (Office) Services Staff

37. Administrative (Office) Services Subject File - This contains copies of the correspondence generated or collected by the staff in the process of providing the full array of office and housekeeping services to OT headquarters. The file also contains correspondence relating to motor vehicle and safety management since the principal staff member serves as the staff officer for these areas throughout OT.

To present a more specific identification of the file and of its content, sample subject headings selected at random include:

- A/BLG - Security Building
- A/BLG - Door Signs
- A/COM - Communications
- A/CON - Contracts
- A/MGT - Meetings, Briefings OT, Special
- A/MGT - Monthly Report to the Secretary
- A/MGT - Public Relations
- A/TRT - Foreign Travel Security

Any policies, procedures, or transactions involving review and approval by higher authority are documented in the Administrative Management File maintained by the Administrative Officer, OT. These papers have no value after the need for them for internal administrative management purposes have been served.

Move active files forward and dispose of all others when 5 years old.

38. Procurement Log, Purchase Orders and Related Papers - These papers are maintained in three-ring binders and they include copies of a log showing the date control number, item and object class, appropriation, and cost of each purchase order issued; a copy of each purchase order issued; and pertinent instructional papers such as circulars, memorandums, directives and similar items needed for guidance.

- a. Procurement Log - Dispose when 6 years old.
- b. All Others - Hold until 3 years old and retire to SHA in annual consignments. Dispose 1 year later.

JUN 75

39. Printing Log, Requisitions and Related Papers - A log showing the date, control number, item, appropriation, and estimated cost, is kept along with a copy of each requisition issued.

The three-ring binder also contains related material comprised of memorandums, circulars, bulletins, and copies of directives needed by the staff.

These papers have no value after the need for them for internal purposes has been served since record copies of them are retained in the Office of Publications, OS, and in the Office of Administration, Accounting Division, NBS long enough to meet all needs.

- a. Logs - Dispose when 6 years old.
- b. All Other Papers - Hold until 3 years old and retire to SHA. Dispose when 4 years old.

40. Travel and Token Log - Logs of travel orders, travel request (TR), and of tokens issued are maintained in three-ring binders, with respect to each of these items, the date, name (signature) of employee and the appropriate control numbers are shown.

A similar log of Requests for Security and Official Passport Clearance for Foreign Travel is also kept.

Along with the logs the binders contain pertinent instructions needed by the staff.

These papers have no value after the need for them for internal purposes has been served.

Dispose when 6 years old.

41. Travel Folders - These are name case files arranged alphabetically containing copies of the travel voucher, travel orders, travel requests, security clearance (if any), and related papers pertaining to each employee traveling on official business.

Hold until 3 years old and retire to SHA. Dispose when 4 years old.

JUN 75

42. Imprest Fund Cashiers Papers - These include documentation of the receipts, deposits, disbursements, delivery tickets, and vouchers maintained by the cashier to account for all monies under the imprest fund for OT headquarters.

Hold until 3 years old, retire to SHA in annual consignments and transfer to WNRC. Dispose when 6 years old.

43. Forms Management Control - These are maintained in three-ring binders and they include a register and identification of all OT forms issued, forms catalogs with related directives and other materials needed to manage and control the forms of OT.

Dispose of individual documents when they have served their purpose.

44. Interdivisional and GSA Work Orders - These are logs of work orders issued to elements of NBS and to GSA calling for building alternations and equipments maintenance, services, and materials. The papers are maintained in three-ring binders and they have no value after OT's need for them has been met.

Hold until 3 years old and retire to SHA.
Dispose when 4 years old.

JUN 75

SPECTRUM MANAGEMENT SUPPORT DIVISION

The Spectrum Management Support Division was created on September 20, 1970, by Department Organization Order 30-5B as a major subdivision of OT. At that time, in broad-stroke language, the Division was made responsible for providing centralized technical and administrative support for coordination of Federal frequency uses and assignments and such other services and administrative functions, including the maintenance of necessary files and data bases, responsive to the needs of the Director, Office of Telecommunications Policy in the Executive Office of the President, in performance of his responsibilities for the management of the radio spectrum.

Although the above statement of its responsibilities holds true, a better understanding of the Division's activities and records may be derived by taking a look at the program it conducts, which is described as follows.

STRUCTURE OF OT SPECTRUM MANAGEMENT SUPPORT PROGRAM

In spectrum management, the Division functions as a supporting activity to OTP, providing it with the administrative, computer, engineering, analysis and development support necessary to fulfill OTP's overall mission. This mission applies primarily to the Government's use of the spectrum resource but coordination is maintained with the FCC, who has the responsibility for the non-Government use, in order that overall utilization of the resource can be attained. Within the Federal Government, various departments and agencies are represented on the Interdepartment Radio Advisory Committee which aids OTP in the coordination and satisfaction of Government spectrum requirements. The above relationships stem from Executive Order No. 11556.

The Division's Spectrum Management Support (SMS) Program has two major thrusts. The first involves day-to-day operations concerned with providing frequency assignments to qualified Federal users. Annually this effort involves the processing and reviewing of some 50,000 frequency assignment actions. The second major thrust involves planning and analysis activity to ensure that the Government use of the radio spectrum resource is both efficient and effective from a long-term point of view.

JUN 75

In line with these major thrusts, the Spectrum Management Support Program is composed of three elements. The first of these, Spectrum Management and Information Center Element is a combination of activities intended to support the first thrust, namely the day-to-day operations of frequency assignment support and to provide administrative and recordskeeping support for other day-to-day and long-range frequency management activities. The second, the Spectrum Analysis Element, provides engineering/analytic support for both immediate and long-term spectrum management. The third element, Spectrum Engineering Development, provides measurement support and develops analysis capability for the first two elements.

A brief description of each of the Program Elements is presented here.

Spectrum Management and Information Element

This element provides administrative, clerical, operational, secretarial and technical support to the IRAC through the IRAC Secretariat. Included in such support is the maintenance of the Government Master File of Frequency Assignments which contains approximately 125,000 frequency assignments. Special retrievals from this file are provided in various forms and formats for internal OT use and as an aid to Federal agencies for selecting new assignments. This portion of the program also provides administrative and technical support for national and international allocation planning, assists in the updating of and assures compliance with the OTP Manual of Regulations and Procedures for Radio Frequency Management, assesses specific requirements, and determines spectrum usage.

This element supports the accommodation of U.S. Government radio frequency requirements in a responsive, expeditious, and efficient manner. To accomplish this, national objectives are identified by the OTP/IRAC as applicable for allocation of the radio frequency spectrum resource. To support such objectives the OTP develops Executive Branch policies on the use and management of the radio frequency spectrum by Government users, taking into account the technical, social, and economic aspects affected by the potentials of telecommunications.

This element of the program also has responsibility for the maintenance of all data files for support and conduct

JUN 75

of Federal spectrum management activities. Federal spectrum management activities which are maintained manually and of which are or will be stored in an automated computer-accessible format. The Spectrum Information element is responsible for the storage and updating of both kinds of files. This responsibility includes the requirement for developing and maintaining the software necessary to access, modify, delete, add and retrieve the data for users. In conjunction with these data activities, computer operations are presently conducted on a customer basis, employing a GSA-owned facility. This operation is scheduled for transfer to an OT-owned, SMS-dedicated computer facility in the early FY 1976 time period.

Spectrum Analysis Element

This element of the program provides the analysis support to the various activities associated with the Federal program for managing the use and disposition of available spectrum resources. In particular, this element provides direct support to the OTP and the IRAC and its subcommittees. The Spectrum Analysis element conducts reviews of new telecommunications systems at every stage of their development to assure that when they become operational they will be integrated into the environment without causing or receiving harmful interference; performs assessments of the degree of resource sharing necessary to accommodate several competing systems in the same region of the spectrum; evaluates specific operational interference problems for the purpose of determining solutions through frequency assignment procedures or other operational control techniques; generates technical bases for spectrum standards; supports technical analyses for National and International spectrum planning; and specifies and evaluates capabilities for such analysis activity.

Spectrum Engineering Development Element

This element of the Program provides for the development of necessary technical capabilities for the conduct of analysis, in support of spectrum management functions. The Spectrum Engineering Development element also provides measurement support to the program; laboratory measurements of equipment parameters and behavior under interference conditions; field measurements of equipment parameters and levels of spectrum usage. The capabilities and measured data are

JUN 75

used by the Spectrum Analysis and Spectrum Management and Information elements in their management support activities. The capabilities are also available as may be appropriate, to other Federal agencies to assist them in their own spectrum management activities. Such availability is established through the OTP/IRAC structure.

PROGRAM OUTPUTS

Although many of the milestones listed for the Program Elements are important in themselves, taken as a whole they form a plan to provide outputs which are useful in national spectrum management. These outputs fall into two categories:

Day-to-day Operations
Long-range Planning

The first category involves outputs which result in frequency assignments to Government radio stations. These outputs are exemplified by the 4000 - 5000 frequency assignment actions processed each month. Listings of these frequency assignments are produced on a monthly basis. Such assignments are necessary to support the spectrum requirements of the various Federal Government agencies to perform their mission-oriented tasks. As an additional aid in this area, special retrievals from the Government Master File of Frequency Assignments are provided to OT analysts and to the Federal agencies on request. Such listings are tailor-made to the needs of the agencies by selecting, sorting and formatting appropriate data for the requesting user. The semi-annual report of the IRAC is also prepared in the Division. It provides a summary of the actions taken during the period, file statistics, information on associated data processing, and an indication of the future work programs of the IRAC. Through the IRAC Secretariat, OT plays a major role in the functioning of IRAC.

The second category is concerned with the longer range aspects of the Federal Government's use of the radio spectrum. Two major types of outputs are provided by the Division for long-range planning purposes. These are in addition to technical support of the Spectrum Planning

JUN 75

Subcommittee and the Technical Subcommittee of the IRAC. The first type of output involves the results of spectrum resource assessment of selected bands. Major problem areas of concern to the Office of Telecommunications Policy are analyzed and evaluations of band occupancy by present and future equipments are determined. Such assessments result in identification of potential conflict between systems because of harmful interference and various operational and technical tradeoffs which will alleviate these conflicts.

The second type of output is closely related to the first. It involves the review of systems in the conceptual through the developmental stage to ensure that adequate spectrum support will be available when the systems become operational. Large investments in system design and development must be protected. If the Systems Review Procedure were not followed, the investment in design and development could be completely wasted if the system were not allowed to operate because it received harmful interference from the environment in which it was intended to operate because it produced harmful interference to other systems in the environment. The Systems Review Procedure has been implemented in OTP Circular #11 on a limited basis in 1973 and has recently been expanded in scope.

To carry out this work, the Division is organizationally comprised of:

- o The Office of the Chief - includes an Acting Deputy Chief, Special Assistant and a Program Assistant.
- o IRAC Secretariat - provides secretarial support to the IRAC main committee and its subcommittees.
- o Spectrum Evaluation Group - accomplishes short term analysis in support of the systems review procedure. Oversees and validates new and improved analytical techniques and data base developments.
- o Data Base Branch - provides administrative support for spectrum management activities in the OTP and the IRAC subcommittees. Supports the frequency assignment process through administrative and routine technical review of the applications. Maintains hard copy and computerized data files in support of spectrum management.

JUN 75

- o Computer Program Development Section - maintains, expands and improves computer services in support of the Spectrum management process.
- o Computer Systems and Operations Section - schedules computer support operations, develops plans for transferring the spectrum management support functions to the OT owned computer in FY 76. Will operate in a transitional mode until dedicated facility is acquired and operational.
- o Spectrum Engineering Branch - conducts detailed analysis of problem areas identified by the systems review procedure and accomplishes broad spectrum resource assignment of various frequency bands specified by OTP. Provides the technical basis for spectrum standards and sharing criteria, identifies and defines requirements for improved analytical techniques.

Each subdivision of the Division maintains its own files at an appropriate files station in accordance with the unit's needs.

Office of the Chief

45. Project Case Files - This contains a case file for each project developed under the Division's Annual Program Plan. The case file contains all of the documentation generated by the professional(s) working on the project. Final reports or studies are developed for only those projects that are judged to have future promise.

Each project and workstep or task performed during the project is identified and listed in the Program Management Books. The case file contains all of the supporting data accumulated for each project.

Retire closed cases to SHA 2 years after they are closed, transfer to WNRC 2 years later. Dispose 10 years after closure.

JUN 75

46. Program Management Books - These are three-ring binders containing copies of management charts, status reports, project proposals, work statements, milestones-time plans, for each of the projects and tasks performed under the annual program plan.

The documentation in these books contain summary information on each project from its initiation to its conclusion. It appears that this summary information would adequately meet research needs of the future following the disposal of the Project Case Files ten years after closure.

(~~Books~~) PERMANENT

2 CF ~~Retain.~~ Retire to SHA when no longer needed for
1.5 CFA current business and offer to the National Archives
2 years later.

47. Frequency Assignment Subcommittee, IRAC ^{File} - This is a record set of the meetings of the Subcommittee with related papers. The Division gives IRAC and its Subcommittees technical and administrative support as required.

Copies of these minutes and papers distributed to other elements of OT may be considered to be workpapers and destroyed when they have served their purpose.

PERMANENT

4 CF ~~Retain.~~ Retire to SHA when no longer needed for
1 CFA current business and offer to the National Archives
2 years later.

48. Chief's Correspondence File - This contains incoming and outgoing correspondence concerning in a general way most aspects of the Division's program, activities, and with more specificity the administration of the Division. In fact this file may be seen as containing the residue of information that is not presented in the Project Case Files, Program Management Books, Annual and Five Year Program Plans and other papers that are suitable to case filing.

Although, there is an extensive managerial and technical need for these papers for a considerable period of time, they appear to have no value for research purposes after they are ten years old.

Move active files forward and dispose all other individual documents or contents of file folders when 10 years old.

JUN 75

49. Chronological File - This contains a copy of each outgoing item that the Chief personally prepares, approves and signs, arranged chronologically.

These papers are maintained only to serve as a convenient source of reference.

Dispose when 2 years old.

50. Name Personnel Folders - These consist of a folder for each active employee arranged alphabetically by name containing office copies of personnel actions and other related papers concerning the subject employees employment by OT.

Dispose 6 months after separation of subject employees.

51. Personnel Review Committee Papers - These are the papers generated or collected during the period that the Chief served as Chairman of the Committee. The committee considers personnel for promotions and awards and makes recommendations to the Director of OT or some other appropriate senior official.

Once the need for these papers for internal personnel management has been served, they appear to have no further value.

Dispose when 5 years old.

JUN 75

Interdepartment Radio Advisory Committee (IRAC)*

Background: The state of the radio art during the 1920's, when the IRAC began to function, was characterized by novelty and future promises. Voice broadcasting, particularly to the public, was an intriguing experience stimulated by the public's first opportunity to eavesdrop on the proceedings of the U. S. political conventions. Radiocommunication services of that period were confined primarily to commercial communications companies who provided international point-to-point telegraph service and telegraph service with ships. The usable frequency spectrum was reaching upward into the twenty megahertz region. Particular areas of serious crowding were below 550 kHz and between 4 and 10 MHz. The high frequency region of the spectrum was still an exciting new territory in contrast to the longer wave region and its very cumbersome and expensive installations.

Stimulation by vast wartime expenditures for research and the general acceptance of entertainment broadcasting to the public, radically changed the radio art of the prewar period. Where in the 1920's a few hundred users and equipments in a very few services were involved, today every household has its electronic devices. The few commercial telegraphy services have evolved into a multiplicity of different applications of radio and radio services. Military efforts resulted in new concepts, complex systems and different services. High mobility and lightweight portability of equipment were emphasized, together with person-to-person voice communication, in contrast to telegraphy. Wide band multi-channel systems, radar and navigational aids as well as a variety of specialized devices emerged and the numbers of equipments spiraled. To provide for the demands of a host of would-be users thereof, in all areas of the government and civil economy, radio frequency managers were pressed to open up new regions of the radio spectrum and to relieve growing congestion by more intensive and more effective use of the limited usable spectrum area. The IRAC has had a leading role in bringing about these changes and augmenting radio frequency resources manyfold.

The following table portrays the growth of the usable spectrum with respect to International Radio Conferences:

*50 YEARS OF SERVICE - The Interdepartment Radio Advisory Committee, IRAC Secretariat, Frequency Management Support Division, Office of Telecommunications, Department of Commerce, Washington, D. C., June 1972.

<u>Year</u>	<u>International Radio Conference</u>	<u>Spectrum Allocated (kHz)</u>
1906	Berlin	500 and 1,000
1912	London	150 to 1,000
1927	Washington	10 to 23,000
1932	Madrid	10 to 30,000
1938	Cairo	10 to 200,000
1947	Atlantic City	10 to 10,500,000
1959	Geneva	10 to 40,000,000
1963	Geneva (Space)	10 to 40,000,000
1967	Geneva (Maritime)	10 to 40,000,000
1971	Geneva (Space)	10 to 275,000,000

The 1906 Conference was concerned only with the maritime service -- radio-communication between ships and shore. The 1971 Conference, alone, added some fourteen new services to bring the total number of allocated services to more than thirty. In terms of assignments to Government radio stations, the number has grown from 600 in 1928, to 60,000 in 1954, and 120,000 in 1971. Applications for frequency assignment now average about 50,000 each year.

Origin and Establishment: On June 1, 1922, a United States Government interagency committee met for the first time. Its purpose was to find means for making the most effective use of the radio wavelenghts then being used for Government broadcasting. Originally named the Interdepartment Advisory Committee on Governmental Radio Broadcasting, it soon recognized the need to consider other telecommunication matters of interest to the departments and, in 1923, changed its name to the Interdepartment Radio Advisory Committee. June 1, 1972 marks 50 years of continuous service by that Committee.

The Interdepartment Radio Advisory Committee, more commonly referred to as the IRAC, came into being spontaneously through a demand of the interested Government agencies and not as the result of action by either the Executive or Legislative branch of the Government. The IRAC is unique among Government committees because: it has continued to fill an essential need for fifty years; it has served to foster the development of both Government and non-Government views and positions; it has made it possible for the national security agencies to work freely and confidently with the other agencies, including the Federal Communications Commission; it has been alert to changing requirements resulting from advances in technology, new situations and new methods, and has facilitated realignment of spectrum use therefor; and, finally, it has confined its activities to its assigned mission. In the process, it

has furnished a conspicuous example of voluntary self-regulation resulting from a realization of the necessity for cooperation and coordination in the common good.

The IRAC advised and reported directly to the President on frequency assignments to Government radio stations without portfolio until April 8, 1927, when President Calvin Coolidge, in a letter to Secretary of Commerce Herbert Hoover, affirmed the Committee action in assuming the responsibility on behalf of the President. From that time the IRAC has acted as a clearing house in the coordination and assignment of frequencies to radio facilities of the Government. Since 1927, by Presidential order, it has reported through or to: the Secretary of Commerce-1927; the Federal Communications Commission Chairman-1935; the Telecommunications Advisor to the President-1951; the Director, Office of Defense Mobilization and successor agencies-1953; the Director of Telecommunications Management-1962; and the Director of the Office of Telecommunications Policy-1970.

The First National Radio Conference, combining both Government and industry representatives, was held in Washington in 1922 to discuss regulation and control of the fast-growing radio services. This conference awakened several of the Government departments to the need for cooperative action in solving the problems arising from the Federal Government's interest in broadcasting, especially since the Navy Department had established broadcasting facilities at the Washington Navy Yard and made them available to other Government departments. It was proposed that a committee assist in regulating and guiding the operation of this station and any others that might be established by the Government. At the suggestion of Dr. S. W. Stratton, Chairman of the Conference, Secretary of Commerce Herbert Hoover, whose department regulated radio in those days, invited interested Government departments to designate representatives for a special Government radio committee. The respondents met on April 17, 1922 and recommended that a permanent interdepartment committee be formed. Their recommendation was approved and the first meeting of the new committee was held on June 1, 1922.

Mission, Organization, and Responsibilities: Under Reorganization Plan No. 1 of 1970 (effective April 20, 1970) and Executive Order No. 11556 of September 4, 1970, the functions relating to frequencies used by radio stations belonging to and operated by the United States, conferred upon the President by the provisions of section 305(a) of the Communications Act of 1934, were transferred to the Director of the Office of Telecommunications Policy.

The mission of the IRAC is to formulate and recommend to the Director objectives, policies, plans, and actions as appropriate in connection with the management and usage of the radio spectrum in the national interest by the departments and agencies of the U.S. Government. Subject to the Director's policy guidance and approval, the Committee coordinates the assignment of frequencies for Government radio station use. It plays a major role in preparation for international conferences and participation on delegations to such conferences. As regards the use of radio, the IRAC bears a similar relation to the Government departments as the Federal Communications Commission (FCC) to the non-Government interests. The Committee also assists and advises the Director and the various federal agencies on related technical radio problems of inter-agency interest, and on other questions as may be referred to the Committee from time to time by the Director.

The IRAC has a membership of sixteen departments or agencies, with liaison representation of the Federal Communications Commission. It has three permanent subcommittees: Frequency Assignment, Spectrum Planning, and Technical. The IRAC and its subcommittees are chaired by officials of the Office of Telecommunications Policy.

The first meeting had Dr. S. W. Stratton as chairman and Dr. J. H. Dellinger - who was to be continuously associated with the committee for many years - as secretary. Both were from the Department of Commerce. Other departments or agencies represented were: Agriculture, Navy, Post Office, State, Treasury, War and the Office of the Chief Coordinator (an office in the Bureau of the Budget). During that first meeting, the Committee agreed that its scope should be extended beyond broadcasting and that it should be advisory to the Secretary of Commerce in all matters of Government radio regulation. To broaden its membership, the Committee agreed that Interior, Justice, Labor and the Shipping Board would be asked to join.

At that meeting in June 1922, representatives of Agriculture and Navy reported on a mutual agreement on the scheduling of broadcasting crop and market news from the Arlington and Great Lakes stations via radio telegraphy. These two stations of the Navy, plus six stations of the Post Office, constituted the primary broadcasting system of the Government.

On May 8, 1925, the IRAC adopted a comprehensive statement of Government Domestic Radio Policy applicable to the times. Among other things, it recognized the importance of radio-communication to national defense, the necessity for coordination among Government departments, and the prerogative

of each Executive Department to be the sole and final judge as to its own policy in respect of radio matters, subject to limitations stated therein and to such instructions as may be issued by the President.

On February 27, 1927, the Radio Act of 1927 created a five-member Federal Radio Commission (FRC) to regulate certain aspects of non-Government radio, including the allocation of bands of frequencies of radio services, assignment of specific power, and issuance of station licenses. The Act assigned to the Secretary of Commerce authority to assign call signs, inspect radio stations, and examine and license radio operators, but reserved to the President the assignment of frequencies to all Government radio stations. Although it was intended that one year after the first meeting of the FRC most of its powers and authority were to be vested in and exercised by the Secretary of Commerce, the FRC was continued until June 1934 when it was supplanted by the FCC.

The role of the IRAC as an advisory body to the President was confirmed when, on March 29, 1927, President Calvin Coolidge, in a letter to the Secretary of Commerce, affirmed the action of the IRAC in assuming the responsibility on behalf of the President of advising him in regard to frequency assignments for the Government. Secretary of Commerce Hoover conveyed this message to the IRAC and from that time the Committee has acted as the coordinating mechanism in the assignment of frequencies of the Government. This procedure was confirmed by subsequent executive orders.

The first such was Executive Order 4846-A, signed by President Calvin Coolidge on March 30, 1928, which listed approximately 600 assignments between 17.6 and 22,625 kHz.

The years following 1929 were marked by the increasing involvement of the Committee in the preparation of proposals for international meetings and conferences. Soon after 1929, the Committee first took up the problems of frequency allocations for television broadcasting and the aeronautical service. The result of such studies with respect to television was a recommendation by the Federal Radio Commission that the entire television service be accommodated in 200 kHz of spectrum space in the 2 MHz band. This is exactly one thirtieth of the space presently allocated for a single television channel. The studies of the Committee in respect of aviation were prompted by a desire to bring about a uniformity of aircraft communications and navigation aids and to avoid the duplication of stations and frequencies. To point out its thinking for the future at that time, the report stated that, although extensive use of radio for aviation had not yet

materialized, the spectrum space then available for this service would probably prove to be inadequate. It was only a short time later, beginning in 1935, that the needs of the aviation service assumed a prominent place on the IRAC agenda when the Federal Government commenced the installation of air-navigation, air-ground and aeronautical point-to-point facilities on a large scale.

The Communications Act of 1934, enacted on June 19, 1934, created a seven-member Federal Communications Commission (FCC) as an independent agency to regulate interstate and foreign commerce in communication by wire and radio, including radio broadcasting and radio operations of state and local governments. The Act continued the President's authority to assign radio frequencies to stations belonging to and operated by the United States, and to control communications in an emergency.

President Franklin Roosevelt wrote to the Chairman, FCC, on November 9, 1935, suggesting that the IRAC continue to function as a clearing house in the detailed allocation of specific frequencies but that its reports and draft executive orders be submitted through the Chairman, FCC. Again, on May 18, 1936, in a letter to the Chairman, IRAC, President Roosevelt asked the Committee to select one or more of its members to appear at a Hearing of the FCC with respect to the allocation of radio frequencies to the various classes of radio service, for the purpose of recording a coordinated estimate of the Government departments' requirements for radio frequencies in the then usable portions of the frequency spectrum.

In October 1940, an IRAC/FCC agreement was consummated whereby:

"The Interdepartment Radio Advisory Committee will cooperate with the Federal Communications Commission in giving notice of all proposed actions which would tend to cause interference to non-Government station operation, and the Federal Communications Commission will cooperate with the Interdepartment Radio Advisory Committee in giving notice of all proposed actions which would tend to cause interference to Government station operation. Such notification will be given in time for the other agency to comment prior to final action. Final action by either agency will not, however, require approval by the other agency.

"The two agencies will maintain up-to-date lists of their respective authorized transmitting frequency assignments."

This agreement has been followed by both parties ever since.

On November 6, 1941, the IRAC approved a set of Bylaws covering its organization and procedures to replace the rules adopted for this purpose in 1923. These Bylaws have been amended a number of times since and continue to define the Committee's mission and functions.

In the years from 1945 to 1947, the United States participated in a series of conferences preparatory to the International Telecommunication Conferences held at Atlantic City, New Jersey, in 1947, and in the Atlantic City Conferences themselves. During this period, the IRAC was primarily engaged in the task of refining and perfecting United States proposals, especially in reference to the Table of Frequency Allocations. As a result of IRAC/FCC work, the U.S. Proposals embraced the important new concepts of: (1) a completely new Table extending the allocations to 30,000 MHz; (2) an engineered frequency list based upon the stated requirements of the various countries; and (3) an international frequency registration board which would examine proposed uses of frequencies for technical freedom from harmful interference before they were accorded status in an international frequency list. The Conference accepted the expanded allocation table (up to 10,500 MHz), established the International Frequency Registration Board and, to prepare the engineered frequency list, the Provisional Frequency Board (PFB). The PFB was not successful as regards the fixed and land mobile services, and adjourned on February 28, 1950. The concept of engineered frequency planning was embraced, however, particularly in the case of the aeronautical and maritime radio services.

Executive Order 10297 of October 9, 1951, which arose from recommendations by the President's Communications Policy Board - March 1951, provided for a Telecommunications Advisor to the President (TAP) with the IRAC to advise and support him.

Meanwhile, the Telecommunications Office, OCDM, sent a memorandum to all Federal agencies which outlined the interim criteria to be used in the review of radio frequency proposals for space communications. The IRAC reiterated the policy that the entire radio spectrum is subject to adjustment when required in the national interest.

In July 1961, the President's Policy on Communication Satellites was issued. Included therein was a statement that the Federal Government would be responsible for assuring the effective use of the radio spectrum, as well as assuring the ability to discontinue the electronic functioning of satellites when required in the interest of communication efficiency and

effectiveness. As a follow-up, the IRAC issued a Notice to All Federal Users of Radio which contained the statement that the Committee "will hereafter authorize the use of frequencies by space transmitters in satellites and other space vehicles which are launched into space, only in those cases where such vehicles are so equipped to assure the ability to discontinue radio emissions therefrom."

Executive Order 10571-A was issued on October 26, 1954, and assigned frequencies to Government radio stations as of April 1, 1954. For the first time since 1928 all station assignments were listed for review and confirmation by the President. This list contained approximately 60,000 assignments, a hundred-fold increase over the earlier one.

In 1955, with the major portion of the task of implementing the 1951 EARC Agreement completed, emphasis shifted to the matter of frequency allocations. The trend continued and was further emphasized in the latter part of the year when the Select Subcommittee on Frequency Allocations (SSFA) was established. The SSFA was to ensure equitable distribution of spectrum space among various radio services, provide for the most effective utilization of the radio spectrum, minimize harmful interference, and lay the groundwork in preparation for the next international radio conference. FCC agreed to work with the SSFA on these goals.**

At the suggestion of the IRAC/SSFA, in 1956 the Office of Defense Mobilization advised the Heads of all Government Departments and Agencies of the need for close coordination between those responsible for research and development and those responsible for frequency management.

Executive Order 10695-A was issued on January 16, 1957 assigning frequencies to Government radio stations as of July 1, 1956. It stated that the particulars of assignments shall be maintained in the official records of the IRAC and that the Committee may, subject to approval by the Director of the Office of Defense Mobilization, authorize the use of frequencies by

**The name of the subcommittee was changed to the Subcommittee on Frequency Allocations in 1958 and to the Technical Subcommittee in 1964. In each instance its terms of reference were modified to make it more responsive to the needs of the Main Committee. It is presently responsible for the development of management provisions in the area of technical standards, minimum performance requirements and equipment criteria.

Government agencies. This was the last time the List of Frequency Assignments to Government Radio Stations was accompanied by an Executive Order.

In the latter half of 1967, the IRAC developed a statement of National Objectives for the Use of the Radio Spectrum, with the FCC Liaison Representative concurring.

The IRAC had been criticized for making many assignments without a termination date. Although there had been numerous review programs on a selective basis, e.g., by bands or services, there had been no policy for the periodic review of all assignments which, by the terms of their authorizations, had no ending date. In the latter part of 1967, for implementation in 1968, the IRAC approved a policy for the periodic review of Government frequency assignments. The review procedure is on a five-year cycle. The procedure serves to eliminate "deadwood", update remaining assignments and make the master file of Government assignments much more useful in engineering new assignments. These review procedures and changed operational requirements made it possible to tell the FCC Chairman on June 3, 1968, that 26 MHz in the band 890-942 MHz could be returned to the FCC for non-Government use. Also, on November 17, 1969, FCC was told of Government readiness to share most of the radiolocation bands then allocated for exclusive Government use (some 7550 MHz of spectrum).

In recent years there has been greater sharing of the spectrum as between Government and non-Government, and a decrease in exclusive allocations to Government services. For example, the percentage of the spectrum between 25 MHz and 40 GHz allocated exclusively to Government use has been reduced from 46% in 1969 to 28% now, with a corresponding increase in shared allocations. During that same period the amount of spectrum allocated exclusively to non-Government has remained at 34%.

On the occasion of the first manned landing on the moon and the subsequent moon-walk on July 20, 1969, the IRAC experienced a sense of participation in having provided the frequencies and the liaison mechanism ensuring the cooperation of other users so as to avoid possible interference, the whole assuring the outstanding communication during the entire operation.

Recognizing the growing threat of spectrum pollution and the increasing need for electromagnetic compatibility, the terms of reference of its Spectrum Planning Subcommittee (which had been established in 1966 as a means of reemphasizing the

frequency allocation function of the Committee) were expanded to include procedures enabling that subcommittee to:

- Develop and maintain pertinent documentation on all planned and operational satellite systems including their technical and operational characteristics;
- Ascertain in the early stages of system concept development, where compatibility may not exist;
- Make recommendations as to potential electromagnetic compatibility problem areas, and propose courses of action to resolve these problems;
- Make recommendations as to technical parameters necessary to facilitate sharing between systems; and
- Review as appropriate the effectiveness of existing systems with a view toward rectifying compatibility deficiencies.

On September 4, 1970, President Richard Nixon issued Executive Order 11556 which delineated functions and delegated certain authorities as regards telecommunications and spectrum matters to the new Office of Telecommunications Policy. Clay T. Whitehead was sworn in as Director on September 22, 1970 and one of his first actions was to retain the services of the IRAC to advise him on spectrum matters. By coincidence, the aforementioned swearing-in date for the new Director was also the occasion of the 1000th Meeting of the IRAC. The Director met with the Committee that day.

The present Office of Telecommunications was established on September 20, 1970 by Department Organization Order 30-5A, to succeed an office with the same title that had existed since December 3, 1967 in the Office of the Secretary.

In the new Office of Telecommunications, IRAC was made a part of the Frequency Management Support Division for purposes of administration and housekeeping. IRAC has a substructure of the following subcommittees:

Frequency Assignment Subcommittee

Technical Subcommittee

Spectrum Planning Subcommittee

JUN 75

In addition to these standing subcommittees, Ad Hoc Work Groups are designated as needed to assist IRAC in its work. Many of these work groups are not located in Washington since a general practice is that the group is officially located wherever the chairman is. To date there has been well over a hundred of such work groups.

Each of the subcommittees and of the work groups maintain their own records. However, there is considerable duplication of the records of these bodies in the IRAC Secretariat's Sequence File since all of the major action papers generated by the substructure bodies are ultimately transmitted to the IRAC for final decision.

IRAC Secretariat

52. Master File - Starting in October 1952, the Committee established a system under which each incoming and outgoing item treated is assigned a document number in sequence. The documents are docketed showing the Date, Document Number, Description of Document, Types of Action Required, and finally a notation of the action of the Committee, and appropriate cross-reference to other documents, if any, are involved. The documents after being docketed are filed here under a subject numeric files classification scheme which is the most responsive arrangement of the papers for current business purposes. However, before the paper is put in the Master File, multiple copies of it are reproduced for distribution to Committee Members and other parties having a primary interest. At least one copy, plus surplus copies left after initial distribution are placed in the Sequence File which is arranged numerically by document number in one continuous series. The Sequence File becomes the official record file of IRAC documents since the Master File is reviewed and inventoried once a year and all obsolete and other documents on which terminal action has been taken are destroyed.

Dispose of individual documents or the contents of file folders when they are inventoried and it is determined that they have served their purpose.

53. Sequence File - This contains at least one copy of every document treated by IRAC. Each document bears a document number in numerical sequence as received. The file is arranged numerically. The Docket Books constitutes a finding aid to the Sequence File, as well as a control of Committee actions.

Once a year these files are reviewed and non-current documents are segregated and arranged for microfilming one hundred images per reel on 35mm film. One copy of the film is retained at headquarters for purposes of current business and another copy is deposited at a relocation site. It is not likely that the copy retained at headquarters for current business will be relinquished for transfer to the National Archives so long as the IRAC is in existence. Nor is it likely that the copy at relocation will ever be offered or transferred any sooner.

Items considered by the Committee and tabled are kept separately in a subgroup designated Tabled Items until the Committee takes some action on each of these items. After the Committee acts on them, these documents are placed in the Sequence File.

After the material segregated from the Sequence File has been microfilmed, it is packed and retired as a major part of the official record of the transactions of the Committee. This supports the disposal of the Master File, since this material is the most complete documentation of such transactions.

It is more than possible that fifteen years from now that our current knowledge and technology in the field of telecommunications will be considered a part of the horse and buggy whip art in the field. This being the case, it is deemed to be prudent to maintain these files for future research.

PERMANENT

has been 3

20 CF ~~Retain.~~ Retire to SHA after microfilmed and offer
5 CFA for transfer to the National Archives.

54. Docket Books - This is a series of loose-leaf binders started in October 1952 and maintained to date. Each document considered by the Committee is posted in these dockets showing the date received, file number, brief description, type of action, meeting date, agenda item or note, action and date, among other things.

JUN 75

These Docket Books are used as an action and document control and they must remain in close proximity to the Secretary of the Committee so long as that body is in existence. The dockets also serve as a finding aid to the current and non-current papers placed in the Sequence File, and to the images on the microfilm copies of that file.

3CF ~~PERMANENT~~ *date back to 1920s.*
~~Retain.~~ Retire to SHA when no longer needed for
1CFA current business purposes and offer for transfer
to the National Archives.

55. Sequence File Microfilms - As noted above, non-current documents selected from the Sequence File are copied on 35mm film in reels containing 100 images each. A copy of the master negative film is made and deposited at a relocation site.

It is essential that the Committee hold both copies of this film, because it is so frequently necessary for Committee to consider and evaluate its total experience to surface new approaches to the resolution of new problems growing out of a constant emerging technology and socio-economic structure. The Committee's need to hold the copy at relocation is obvious.

Future decision

35mm
* No reliable estimate of just when these films might be retired can be made at this time. However, both copies should be kept and ultimately made available to the National Archives for evaluation as a replacement for the hard copy Sequence File.

3CF/HQ ~~PERMANENT~~
3CF ~~Retain.~~ Retire to SHA when no longer needed for
IRAC current business and offer for transfer to the
National Archives.

56. Administrative Subject File - This is a small file kept in the private office of the Executive Secretariat to the Committee merely as a convenient source of reference. The file contains office copies of the usual house-keeping papers on budget, conferences, relevant directives, personnel actions, requisitions, production reports, travel and the like.

Record copies of all of these papers are maintained elsewhere.

Dispose of individual documents or contents of file folders when 2 years old.

JUN 75

Frequency Assignment Subcommittee (FAS)

57. Minutes by Docket Listing of Monthly Transactions - These minutes contain a detailed account of the technical data considered in connection with approval or disapproval recommended by the Subcommittee. The minutes provide information in-depth on each transaction handled by the Subcommittee.

The minutes of the meetings constitutes, such a complete records of the Subcommittee's considerations and transactions that makes them the only official record of the body. These are computer printouts.

The minutes of the FAS are numbered in sequence up to 340 at present.

PERMANENT

18 CF ~~Retain.~~ Retire to SHA after microfilmed and offer
5 CFA to the National Archives.

58. Applications for Frequency Assignment Actions (Form OT-19A and OT-19B) - Each year IRAC receives approximately 30,000 Applications for Frequency Assignments Actions from agencies of the Federal Government. These applications are forwarded to the FAS for the necessary research analysis and a recommended final frequency assignment action.

Frequency assignment actions include requests for a new frequency, a renewal, modification or deletion of an existing assignment.

All of the data on the applications, plus some additional information concerning each of them is written on magnetic tape or discs for computer processing.

From this and related data the computer automatically assigns a docket number to each application and prints out Screeners' List for all applications received appearing on the agenda for the next meeting of the FAS. Once the Screeners' List is checked and found to be accurate and complete the applications have no further value. Furthermore, all of the information in the applications is summarized in the minutes of FAS meetings which replaces the Screeners' List.

JUN 75

Dispose when 6 months old.

59. Screeners' List - This is a computer printout of all the data on the application, plus showing all of the changes or adjustments that must be made in order to allow a Frequency Assignment Action the same as, or equivalent of, that requested by the agency. These lists are reviewed by the staff which marks up a copy to show all necessary changes. These changes are then posted on a workdraft of the agenda for a meeting of FAS.

Dispose when 3 months old.

60. Agenda - The staff analyses the information on the Screeners' List concerning each application under consideration, any changes that need to be made in this information is posted on a draft of the Agenda in the process of preparation.

All of the data concerning each application with the revisions of the staff is put in the computer and it automatically prints out an Agenda for a FAS meeting. The FAS in the course of its deliberation makes such changes in the Agenda as it deems necessary. Using the Subcommittees changes along with all of the other data appearing in the Agenda for each application, the computer automatically prints out the minutes of the meeting as described above.

Once the minutes have been printed out and checked for accuracy the Agenda have no further value.

Dispose when 3 months old.

61. Application Registration Books - From 1952 until 1966 registration books were maintained in which each paper concerning an application for a frequency assignment was given a registration number in sequence as the papers were received. After 1966 the computer was programmed to automatically assign registration number to the documents involved. A printout of the serial and registration number of the applications is automatically printed out by the computer after each meeting. These printouts are filed with the master minutes as a part of the official record.

The manually prepared registers generated prior to 1966 have not been microfilmed and they must be held by the

JUN 75

agency so long as it continues to function.

2CF a. Registration Books 1952 - 1966 - ^{PERMANENT} Retire to SHA when no longer needed for current business and offer to the National Archives for transfer.

1.5CF b. Computer Printout of Registrations - ^{PERMANENT} Retain.
.5CFA Retire to SHA along with the related minutes of meetings and offer to the National Archives for transfer.

62. Administrative Dockets - These are the action papers received or generated by the FAS on managerial or policy matters that cannot be translated to machine readable language for automatic data processing. Each such document is assigned a registration number which is manually posted in bound ledgers along with a description of the document, data received, and the data distributed.

These documents appear to contain data that may be of great significance to future scholars and researchers in the field.

2.5CF ^{PERMANENT} Retain. Retire to SHA after microfilmed and offer
.5CFA to the National Archives.

63. Administrative Dockets Microfilm - The papers in the docket are periodically reviewed for suitability for microfilming and immediate retirement. The papers selected are microfilmed on 35mm film, 100 images per reel. The master negative of the film is held at headquarters for purposes of current business and one copy of it is made and deposited at a relocation site. No reliable estimate can be made at this time of just when these microfilm copies might be retired. However, both copies should be retained and made available to the National Archives for evaluation as a replacement for the hard copy files. *Reels are constantly used.*

2.0CF ^{PERMANENT} Retain. Retire to SHA when no longer needed for
1.0CFA current business and offer for transfer to the
at location National Archives.
14 reels

64. Administrative Registration Books - These are ledgers in which a registration number, description, date received and date distributed are manually posted for each document received in connection with a specified action requested of FAS.

JUN 75

1.5 CF ~~PERMANENT~~ ^{not duplicated.}
~~Retain.~~ Retire to SHA when no longer needed for
1.5 CFA current business and offer to the National Archives.

65. Canadian Applications, Agenda and Minutes - These are applications received from Canadian Government Agencies and from organizations in the Canadian private sector. These applications are reviewed and analyzed and a combined agenda and minutes of the FAS meeting is manually prepared.

The agenda and minutes reflecting the final actions of FAS are filed in the front of a folder containing the related applications.

These papers are periodically reviewed for suitability for microfilming and retirement.

1.10 CF ~~PERMANENT~~
~~Retain.~~ Retire to SHA after microfilmed and offer
0.10 CFA to the National Archives.

66. Canadian Application Registration Books - These are bound ledger books in which the serial number, date, frequency requested, location, date received and the date the reply was sent to Canada on each action document received. These Registration Books have been maintained since about the beginning of 1953 to date.

It is essential for the agency to hold all of these books so long as it continues to function. These books are not microfilmed.

1.5 CF ~~PERMANENT~~
~~Retain.~~ Retire to SHA when no longer needed for
1" CFA current business and offer to the National Archives.

67. Canadian Applications, Agenda and Minutes - Two microfilm copies of the Canadian Applications and related papers are made periodically. The master negative copy is held at headquarters and the other copy is deposited at a relocation site:

It is not possible to judge when these microfilms may be available for retirement. However, both copies should be maintained and ultimately be made available to the National Archives for evaluation as a substitute for the hard copy files.

JUN 75

1.25 CFA ~~PERMANENT~~ 1/5

3 years
annually

~~Retain.~~ Retire to SHA when no longer needed for current business and offer to the National Archives.

68. U.S.-Canadian Coordination - These are applications from agencies of the Federal Government in certain locations requesting a frequency assignment in a specified frequency band. These applications must be coordinated with the Canadian Government in accordance with the requirements of an agreement between the U.S. and Canada referred to as "Arrangement D". The file also contains related papers such as the notification to the Canadian Government from the IRAC Secretariat putting it on notice that such an application is being considered.

These applications are treated in the Screeners' List, Agenda, and the Minutes of IRAC Meetings under a code along with all other applications regularly received from Federal agencies.

Although maintained separately, these applications with related papers are microfilmed in the same manner as all other applications and the retention period for the microfilm copies shall be the same as that assigned to the microfilm of FAS and of IRAC. (see item 55)

These applications that are coordinated with the Canadian Government appear to contain data of value to IRAC as well as future researchers and scholars in the field.

1.5 CFA ~~PERMANENT~~

~~Retain.~~ Retire to SHA when no longer needed for current business and offer to National Archives.
Hard copy & review file

69. Registration Books - These are bound ledgers manually posted to show the serial number, agency serial number, frequency, date to Canada, date of reply, remarks, and docket number of each U.S.-Canadian application for a frequency assignment.

4 ledgers ~~PERMANENT~~

~~Retain.~~ Retire to SHA when no longer needed for current business and offer to the National Archives.

70. Canadian Frequency Assignments - This is a computer printout of a list of frequency assignments made by the Canadian Government that is furnished to FAS for distribution to Federal agencies with a primary interest.

This list is used as a primary source of information needed to coordinate IRAC frequency assignments with those of the Canadian Government.

JUN 75

Dispose when they have served their purpose or when 10 years old, whichever is sooner.

71. List of U.S. Frequency Assignments in the Border Zones and in the Bands Listed in Arrangement D - This is a computer printout listing all U.S. frequency assignments coordinated with Canada. A copy of this list is furnished to the Canadian Government.

All of the information appearing in this list is also printed in the minutes of FAS meetings.

Dispose when they have served their purpose or when 10 years old, whichever is sooner.

72. List of Frequency Assignments to U.S. Government Radio Stations - This is a record set of annual lists of frequency assignments to Government radio stations. Until recently these were computer printouts issued semi-annually however, the hard copy printouts have been replaced by microfiche copies to facilitate distribution as well as to compact the record.

- 1.0 C.F.
0.25 CFA
- a. Record Set of one copy of the Annual List either printed or microfiche ~~PERMANENT~~ Retire to SHA when no longer needed for current business and offer for transfer to the National Archives.
 - b. All other copies of the List - Dispose when they have served their purpose.

73. Hydrology File - Documentation for analysis and consideration of the effects of bodies of water throughout the World on radio wave propagation and frequency management.

These papers contain data of significance because it concerns an emergency area of scientific investigation.

- 2.CF
.5 CFA
- ~~PERMANENT~~
~~Retain.~~ Retire to SHA when no longer needed for current business and offer to the National Archives 1 year later.

74. Special Use Permits - This is incoming and outgoing correspondence concerning permission to use sites for telecommunications installations and the characteristics of such sites.

Move active files forward at the beginning of each decennial year and dispose of all other.

JUN 75

75. Telephone Frequency Assignments - These are requests for a frequency assignment by telephone with related papers.

All data in the file are duplicated in the minutes of FAS meetings.

Dispose when 3 months old.

76. Agency Frequency Assignment Lists - These lists the frequency assignments given to agencies arranged by the names of recipient agencies. The lists are issued monthly.

All data in these lists are duplicated in the minutes of FAS meetings.

Dispose when 3 months old.

77. General Correspondence - This is selected incoming and outgoing correspondence that has general application to the development of the FAS programs, policies, and activities.

The file appears to be composed of papers that have been specially selected over the years that contain significant data on the FAS.

NOT DUPLICATED ELSEWHERE. IS PROGRAM FILE FROM BACU 30A.
PERMANENT BASEL PA FILE.

3 CF

Retain. Retire to SHA when no longer needed for current business and offer to National Archives.

1 CFA

78. Classified Document Receipts - These are copies of receipts for security classified material released to persons outside of FAS.

EXCLUDING TS

Dispose when 3 years old.

JUN 75

Spectrum Planning Subcommittee

79. Systems Review Data File - This contains record copies of all papers generated by the Spectrum Planning Subcommittee, IRAC. Each document in the file is given a document number under which it is filed in sequential order. Each document is also identified under one of the following index numbers assigned to agenda items. The assignment of this index number is used to bring together all of the papers pertaining to a given application or some other agenda item received from a Federal agency.

- 1.14.1 Organization, Officers and Membership
- 1.14.2 Changes in Representation
- 1.14.3 Agenda and Summary Record (Minutes)
- 1.14.4 Working Documents
- 1.14.5 Reports and Recommendations
- 1.14.6 Miscellaneous
- 1.14.7 Preparation for 197 WARC
- 1.14.8 Implementation 197 EARC
- 1.14.9 Preparation for General Radio Conference
- 1.14.10 Systems Review Procedure
- 1.14.11 International Space Coordination
- 1.14.12 Foreign Space Telecommunication System
Activities (Munitions Control Board)
- 1.14.13 Other Foreign Space Telecommunications
System Activities

Unlike the Frequency Assignment Subcommittee, this Subcommittee of IRAC does not produce its agenda and minutes on the computer to include all of the analytical and supporting data found in the file. Consequently, the data that is useful for verifying or validating the decisions made on allocations of the frequency band as well as, the data that are needed for creative production of new telecommunications systems are available only in this file.

2.5 CF PERMANENT

~~Retain.~~ Transfer closed cases to WNRC every 3 years
, 5 CFA and offer to the National Archives ~~within~~ 10 years thereafter.

80. Docket Books - These are ruled ledger books in which each document received or sent is manually posted showing document number, agenda item number, date received or sent, description, and the action person or organization.

3 ledger PERMANENT

~~Retain.~~ Transfer to WNRC when no longer needed for
1 back current business and offer to the National Archives
Annually ~~within~~ 10 years thereafter.

JUN 75

Technical Subcommittee

81. Technical Review Data File - The Technical Subcommittee, IRAC, is responsible for evaluating and making recommendations, in the form of technical reports, on new and existing techniques from the standpoint of their ability to optimize use of the radio spectrum (recommendations to include implementation steps).

This file contains record copies of all papers generated by the Subcommittee. When an application for a frequency assignment is received from a Federal agency that is not compatible with existing assignments in the radio spectrum the matter is referred to the Technical Subcommittee for examination to see if some new technical development can be applied to accommodate the application. To assist it in meeting these responsibilities the Subcommittee has five Working Groups assigned as follows: (1) Techniques, (2) Standards, (3) Electromagnetic Capability/Sharing, (4) Propagation, and (5) Side Effects.

As in the case of the Spectrum Planning Subcommittee, all of the data in this Subcommittee's file is not duplicated in the agenda and minutes of its proceedings. This data is microfilmed at the end of each year and the hard copy papers records are transferred to the National Archives along with those of IRAC at the end of each year *(see item 55)*.

HCF PERMANENT
ICFA ~~Retain.~~ Offer for transfer to the National Archives in annual consignments with appropriate IRAC records.
Hard copy & microfilm

82. Administrative Subject File - This contains office copies of informational and other papers on housekeeping matters such as organization, computer program, contracts, finance, forms, routine correspondence, personnel actions, publications, production reports, staff visits and other papers that are unsuitable for filing with the papers on any specific technical problem area under examination by the Technical Subcommittee, IRAC.

Move active files forward at least once every 2 years and dispose of all others.

JUN 75

(Printouts)

83. Program Listings - These are printouts of programs developed to command the computer to select and automatically process source data needed in the analysis of one policy step in connection with providing higher authority with the necessary program reports.

These printouts have value for varied periods of time after the termination of the projects which produce the program. However, after expiration of this time they are of no value to the Government or the public.

Dispose when superseded or when 1 year old, whichever is sooner.

84. Intermediate Printouts - These are subset printouts produced to accomplish one workstep.

These printouts have no value after the workstep has been completed.

Dispose when they have served their purpose.

(Punch Cards)

85. Source Data Punch Cards - These are cards on which source data have been transcribed in machine readable language.

Dispose when the cards have served their purpose as a worktool and the data which they contain have been transcribed and approved on an accepted tape or equivalent.

86. Computer Program Punch Cards - These are punch cards on which commands to the computer have been transcribed in machine readable language. They are maintained as an essential worktool for revising existing programs and for preparing new more advanced computer programs to provide automatic processing of source data with similar or subject analytical characteristics.

JUN 75

Dispose when the cards have served their purpose as a worktool and the data which they contain have been transcribed and approved on an accepted tape or equivalent.

Deputy Security Officer

The Secretary of the Technical Subcommittee also serves as Deputy Security Officer, OT. Since he maintains the papers produced for both positions, the security papers are described here.

87. Security Subject Numeric File - This file contains record copies of all papers generated by the incumbent in his capacity as Deputy Security Officer of OT. The papers are arranged according to a subject numeric classification scheme under subject headings, such as; Safe Combinations and Locations, Top Secret Control Register, Designation of Security Officers, NATO Control, Security Instructions, Indoctrination of Personnel, Reports of Destruction, and Letters - Incoming and Outgoing.

The Deputy Security Officer maintains record copies of classification, declassification and document controls and accounts. The papers are so arranged that it is most economical to maintain them all for an optimum period consistent with their value, rather than attempt to assign more reasonable periods for the disposal of small segments of papers from the file.

Dispose of individual documents or contents of file folders when 15 years old.

JUN 75

Ad Hoc Groups

These are work groups that are designated by IRAC to investigate, analyze, and recommend resolution of a specified problem area. A convenor is also designated by IRAC and generally speaking the convenor agency is responsible for the maintenance and preservation of the official records of the Group. Consequently, OT is only responsible for the official records of a portion of the total number of active Ad Hoc Groups. The exact number of groups for which OT has recordskeeping responsibilities at any point in time cannot be determined. However, the number of such active groups does not generally exceed six.

Starting about October 1952 Ad Hoc Groups designated were given a serial number in sequence to date. Since 1952 a total of one hundred and fifty-two Ad Hoc Groups have been designated through October 1974.

88. Ad Hoc Group Papers - The Secretary or equivalent of each group collects or generates papers containing data on the organization and activities of the Group. The responsible official (chairman) also generates a quantity of papers containing data used to formulate the groups recommendations to IRAC.

The objectives of all one hundred and fifty groups are basically the same, namely, to develop and submit a final recommendation on the problem area each is assigned. The nature of the problem area, assigned to the various groups vary a great deal. Some of the problem areas must be handled on a specified or specific time table, while others may span a number of years.

The common denominator for determining the value of the records is the date of discontinuance of the Group.

The second common factor applying to all of the groups is the fact that all information found in papers held by the Secretary or equivalent of each group is summarized or duplicated in the records maintained in the immediate Office of the Executive Secretariat, IRAC. These records have been earmarked for retention long enough to meet all requirements.

JUN 75

- a. Files held by the Secretary of each Ad Hoc Group - Review for disposition 6 months after discontinuance of the group, and (1) Move active file forward and, (2) Dispose of all others.
- b. Active Files of Discontinued Ad Hoc Groups - Review and move active files forward and dispose of all others at the end of each calendar year.

Spectrum Evaluation Group

89. Proposed New Radio Systems Engineering Studies and Supporting Papers - These are the papers collected or generated by the Spectrum Management Analysis Group that reviews and analyzes proposed new radio systems, initiated by Federal agencies, to determine that each such system is compatible with the frequency and other assignments within the band of the radio spectrum involved. The Spectrum Management Analysis Group makes a final technical report to the Spectrum Planning Subcommittee. The report is accompanied by a selection of the principal support documents behind it.

After the Spectrum Planning Subcommittee has made its final recommendations to OTP these papers have only a limited value for reference to the individuals comprising the Spectrum Management Analysis Group.

Dispose of individual documents or contents of file folders when they have served their purpose or when 10 years old, whichever is sooner.

90. Spectrum Management Analysis Group Workpapers - These include printed and processed copies of standard reference materials and typescript copies of documents developed by staff members that are used by the Engineers and other specialists within the Group to review and evaluate proposed new radio systems as well as improved systems and procedures for data management within the Division.

These papers are maintained only for technical reference purposes, however, they must be kept in close physical proximity to the professional concerned.

Dispose of individual documents or contents of file folders when they have served their purpose.

JUN 75

Data Base Branch
Office of the Chief

As noted above, the Data Base Branch provides administrative support for spectrum management activities in OTP and the IRAC subcommittees. The Executive Secretary, IRAC, also serves as Chief of the Data Base Branch. Consequently, the records which he generates as the Branch head are interfiled among the papers he creates as the Executive Secretary, IRAC, and the retention periods prescribed for them apply to the papers of this activity.

Data Retrieval (Section)

The records generated by this activity are interfiled among those held by the Chairman of the Technical Subcommittee, IRAC, and the retention periods prescribed for them apply to the papers of this activity.

Applications Processing (Section)

This activity screens and processes applications for frequency assignment actions originated by the sixteen members of the IRAC, Frequency Assignment Subcommittee and by non-member Government agencies, who are users of radio, and prepares them for computer program processing by punching data on paper tapes. These tapes are transmitted by high speed teletype to the computer site for machine screening and checking and assembly into weekly agenda sections. On a monthly basis after each FAS meeting, the decisions of the subcommittee are entered into another computer program process to produce FAS Minutes, Supplements to the List of Frequency Assignments, Supplements to the Agency Lists, Tabled Items Agenda, Statistics and to update the Government Master File. This cycle repeats anew every month. Semi-annually, the List of Frequency Assignments to Government Radio Stations is prepared in total.

The papers created by this activity are interfiled among those of the FAS and the retention periods prescribed for them apply to the papers of this activity.

JUN 75

Frequency Assignment Review Section

The records created by this activity are interfiled among those of the Frequency Assignment Subcommittee.

Frequency Allocation Support Section

The records created by this unit are interfiled in those of the Spectrum Planning Subcommittee, and/or treated with them.

Computer Program Development Section

91. Users Manuals - These contain the necessary instructions for the operator which tells him what goes in and what comes out and the various other options that he might have concerning the processing of various programs for automatic processing of source data.

Three

3"

~~PERMANENT~~

~~Retain.~~ Offer a complete set of the last addition of the manuals to the National Archives when no longer needed for purposes of current business.

92. Computer Program Development File - This contains copies of internal correspondence that relates to the general operation of the Section, productivity reports, specific requests from users pertaining to implementation of new computer programs, updates and others; usual house-keeping papers, technical data on computer software and hardware, and the like.

Dispose of individual documents or the contents of file folders when they have served their purpose or when 3 years old, whichever is sooner.

(Magnetic Tapes)

93. Program Tapes - These contain the commands to the computer to treat specified source data in a certain manner and automatically produce the desired end product which might be any one of several possible computer outputs.

JUN 75

~~Retain. Hold active and inactive program tapes in the OT tape library. Offer for transfer to the National Archives when no longer needed for current business.~~ *Scratch when they have served their purpose or when 10 years old whichever is sooner.*

(Printouts)

94. Program Listings - These are printouts which list the commands given the computer for a particular program. They are used to revise or update the program tape involved. Once this has been accomplished the printout has no further value.

Dispose when the subject program update has been accomplished on the program tape and has been checked, verified and accepted.

(Punch Cards)

95. Program Punch Cards - These are decks developed by the Institute of Telecommunications Sciences and other agencies that are given to OT to advance one of its projects in which the donating agency has an interest.

Dispose 30 days after the data on the cards have been transcribed on an accepted tape or equivalent.

Computer Systems and Operations Section

96. Computer Systems and Operations Workpapers - These are the workpapers including internal correspondence, copies of reports generated or collected by the Chief concerning the acquisition of a computer installation for the use of OT and its most probable maximum utilization during the initial period of operations.

Once the desired configuration of hardware and software has been determined, the data in these files will be summarized or otherwise duplicated in submissions to higher authority that will specifically deal with the automatic data processing capability, the need for it and its esti-

JUN 75

mated costs. When the transaction has reached this point of development the data in these papers will have no further value to the Government or to the public.

Dispose of individual documents or the contents of file folders when they have served their purpose or when 10 years old, whichever is sooner.

Spectrum Engineering Branch

Although this activity is geographically separated from the Washington Staff of the Division, it is nevertheless, an organic part of the Headquarters of the Division just as though it was physically located in Washington.

This activity is primarily engaged in spectrum resource assessment and the capability of systems in various frequency bands as more fully set forth above.

97. Division Chief's Subject Correspondence Files - These consists of copies of documents from the Chief's files maintained in his Washington Office. These copies are kept at this locality purely for convenience of reference and they have no continuing value.

Dispose of individual documents or contents of file folders when they have served their purpose.

98. Spectrum Analysis Reports - This is a record set consisting of one copy of each Phase I Report, Executive Summary and Phase II Report. These specifically are the reports usually generated for each assigned assessment task. However, there may be other reports that are produced in the process of special projects that result from unanticipated situations.

Most of the Phase II Reports are published and distributed within the Federal Government. However, there are some that are not published for security and other reasons. Even though the majority of these manuscript reports are published, it should be recognized that they contain considerable primary source data useful for original research, that do not appear in the published versions. These papers appear to contain information that will be needed by the scientific community for research purposes for many years to come.

JUN 75

4CF PERMANENT

1 CFA Retain. Retire to SHA when no longer needed for current business in mutually agreed upon consignments and transfer to WNRC 1 year later. ~~OFFER FOR TRANSFER TO THE NATIONAL ARCHIVES AND RECORDS SERVICE 10 years thereafter.~~

99. Task Status Reports - This is a monthly report giving the title of the task, names of key people involved, work schedule, milestone plan status and the manpower allocated for the task. These reports are used for administering the task and as a feeder report for submissions to OTP and other higher authority. Once the need for this purpose has been served these reports appear to have no further value.

Dispose of individual reports 5 years after the subject task has been completed.

100. Electronic Engineers Technical Subject Files - These are the papers that are generated or collected by the Professional Electronics Engineers in the process of completing their investigation or assigned task. Specifically found among the papers are such things as mathematical calculations and other spreadsheets, draft preliminary findings and conclusions, printed or processed secondary source materials, formatted data under tentative analysis, copies of internal and external correspondence, and the like.

Each Electronic Engineer's workload is composed of assigned tasks that are generally undertaken at the request of the OTP. The Electronic Engineer in the course of conducting his assigned task generates and accumulates documentation of the content, administration, and scientific considerations that are part of the official record of the task. When the task nears completion the Electronic Engineer is responsible on a selective basis for segregating all of such task papers that should be included in the task record located in the Office of the Division Chief, Washington, D.C. Duplicate copies of the papers included in the official task record that are kept among the papers of the Electronic Engineer will be considered as a part of his technical file.

Move active files forward and dispose of all others when they have served the purpose of the Electronic Engineer concerned.

JUN 75

101. Administrative Subject Files - These contain office copies of the usual housekeeping papers on such matters as arrangements for meetings; extra copies of conference agenda, minutes and other issuances; budget, personnel actions, requisitions for services and things, intradivision memorandums, space, time and attendance, travel, work assignments, and the like.

The file also contains extra copies of papers containing technical data that is used for the administration of work for which the Division is committed. Copies of pertinent directives and other authoritative material are also found in the file.

These papers appear to have no value after the administrative need for them has been served.

Move active files forward and dispose of all others when 2 years old.

JUN 75

TELECOMMUNICATIONS ANALYSIS DIVISION

The Telecommunications Analysis Division is responsible for conduct of a wide range of activities required to "put the technology to use" with the mission of developing business and trade opportunities and improving human services.

The goals of the program are to develop and promote the application of communication systems which do not use valuable spectrum space, thus providing opportunities for new business and trade; to develop and promote the use of telecommunication systems which can be used as a substitute for higher energy consuming technologies; and to develop and promote the application of communication technology in government operations to reduce costs and provide better service.

The program is accomplished by (1) working with other agencies, communities, and industry to determine opportunities and requirements to accomplish the above goals, (2) encouraging the development of lacking technology and doing the research and development which cannot be accomplished otherwise, and (3) promoting the application of demonstrated systems in government and community operations.

The program is divided into three subelements: telecommunications analysis, implementation research and technology application.

1. Telecommunications Analysis. The U.S. trade deficit in communications and selected electronic products has grown continually over the past 10 years, to its current level of \$1 billion. The trend includes a significantly declining U.S. share of a rapidly expanding domestic and world market.

World demand for telecommunications products alone is growing at a rate of about 15 percent per year. Although the U.S. is credited with many of the major technological advances from which this class of products stems, the U.S. world market position does not reflect this technical expertise. There are consistent indications from the U.S. telecommunications manufacturers that many of the primary obstacles to expanding exports are remedial through appropriate and urgently needed federal actions, both domestically and through international negotiations.

JUN 75

To date, no U.S. body has provided needed, definitive recommendations to U.S. policy makers or to the U.S. representatives to the General Agreement on Tariffs and Trade (GATT) negotiations for improving the trade deficit in telecommunications.

The function of this subelement is to prepare analyses that identify opportunities for application of telecommunications technology. The objectives for the next several years are (1) to have completed, through contract with the National Research Council, a study of metropolitan communications for the future; (2) to integrate the results of this study with results of this study with results of our experiments on delivery of services in a community and/or working at dispersed locations and other experiments such as the National Science Foundation experiments with cable television; (3) produce a plan which can be used by communities and Federal agencies for using communications to provide services; and (4) to assess the telecommunication technologies involved for potential impact on future business and foreign trade.

The potential business for the systems under consideration has been estimated to be several billion dollars a year. The potential for delivery of programs and services is not limited by spectrum available and resulting scarcity costs.

The requirements for the National Research Council study have been defined jointly by the Federal Communications Commission; the U.S. Postal Service; the Departments of Commerce; Health, Education, and Welfare; Housing and Urban Development; and Transportation through the Inter-agency Committee on Telecommunications Applications chaired by the Department of Commerce.

The interest of the administration in metropolitan communications is expressed in the Report of the Cabinet Committee on Cable Television and in the proposed Cable Communications Act of 1975.

The analysis will provide a clear statement of probable directions in urban telecommunications that can be used to guide new communications development. A few of the issues being considered are postal service planning for improvement of services and promotion of other national purposes, implementation of the Housing and Urban Development Act of

JUN 75

1970 to utilize telecommunications technology in controlling urban growth, implementation by all Federal agencies of the Rural Development Act of 1972 in considering location of their facilities in rural areas to relieve urban congestion, telecommunications facilities to support the disadvantaged, sick, or undereducated populations and the basic "communications package" fundamental to any urban area.

The need for increased effort by industry and government agencies at all levels for the application of civilian technology has long been recognized by the Department of Commerce. Among the most critical national problems today are inflation, energy supply, government costs, and trade losses. Therefore, the major efforts of this program are focused on identified needs for applying telecommunications technology for: reducing the costs of doing business in terms of energy, time, dollars, spectrum and productivity through the use of communication systems; reducing the alienation between the citizen and his government through the improved use of information systems and communication technologies; increasing business opportunity by demonstrating utility of innovative communication and information systems; improving the interoperability, usefulness and flexibility of communication systems through interchangeability, standardization and modular approaches; providing associated technical programs in cooperation with other disciplines in providing human resource services, improving community environments and providing government services; assisting the transfer of decision making from Federal to state and local governments by providing information exchange services and coordinated technical services; and assisting other agencies by providing central facilities for optimizing services and costs of communication systems.

Prior year efforts were concentrated on analysis, in cooperation with the Federal Energy Administration, to determine opportunities and to develop recommendations and experiments for using communications to conserve energy and, in cooperation with the Department of Housing and Urban Development, to determine opportunities for use of communications and information technologies to improve community services.

Successes have been achieved in past and ongoing efforts to: -

JUN 75

develop the use of information system and communication technologies to improve community communication; perform experiments and demonstrations to show how communications can substitute for transportation; develop community communication facilities for provision of emergency services; develop techniques and systems for more efficient delivery of Federal services; develop programs for improving international communication trade, increasing the rate of doing business, and to enable business to continue in the face of shortage; development of standards for Federal systems and broadband communications; and consolidate and improve technologies for reducing the costs of time-bandwidth products, networking, and terminals.

Considerable progress is being made by using the results of this work in assisting other agencies in contracting to private industry. As the program is directed toward reduction to practice by experiment, demonstration and application of potentially useful communications technology, a major output is showing by example how to use new technologies in common working situations, particularly government operations, so that the applications can be repeated with minimum redundant effort. A second output is innovations and inventions required to fill in missing pieces of the technology which are preventing application of existing devices. A third output is information, reports, papers, etc., describing the program findings.

The overall output is to be operating systems which will better provide to the citizens in a community access to information available to him in his government, thus reducing his sense of alienation. The long range output is to be recommendations to the Secretary concerning actions required by the U.S. to participate in potential markets for communications and information systems experiments in the 1980's. These are to be based upon practical findings of the program designed to pioneer the field.

Timely and adequate support to selected technological development that are key to future markets will serve to improve the competitive position of U.S. exporters. U.S. technological advancement in this field has been significantly stimulated by military telecommunications procurements and R&D investments -- both of which appear to be on a downward trend. The net impact of OT's efforts will be to contribute to the channeling of available resources into the selected, promising areas of high market potential.

JUN 75

OT is the only office in Commerce with a deep and extensive enough expertise for a focused analysis on the telecommunications field.

The Federal Government is obliged by law to provide U.S. Representatives to the GATT Negotiations, with support from Departments such as Commerce. Similarly, trade policy formulation is an explicit function of federal departments, including Commerce. U.S. negotiators report past disadvantages in GATT negotiations concerning telecommunications due to a lack of specific case examples of foreign barriers to U.S. exporters.

In the next year the National Research Council's contract will be monitored. Available resources will be used for developing experimental models of systems identified with FEA and HUD for implementation on a laboratory scale.

The following year the NRC study is to be completed, the technology assessment portion of a two year trade analysis is to be completed and the community plan will be started.

At a minimum, the OT effort is expected to act as a catalyst in stimulating the provision of meaningful, currently unavailable, factual data and, guidance to the U.S. GATT negotiators.

2. Implementation Research. Telecommunications can assist materially in the Administration's program to conserve energy. A significant degree of energy conservation can be realized by increased and better use of telecommunications in lieu of transportation. Research indicates that based on the August, 1974 production demand rate, as much as 1,250,000 barrels of petroleum per day can be saved through the substitution of telecommunications for travel. This can be compared with the total demand rate at that time which was 16,600,000 barrels per day.

The functions of this research are to (1) demonstrate applications of the technology in operational situations (but on a laboratory scale); and (2) resolve the technical, standards, and measurement problems required for full scale application. The objectives for the budget year are (1) to develop laboratory versions of the communication systems required to link together the community centers, dispersed work facilities, community and government infor-

JUN 75

mation systems and other facilities developed in this and other Federal programs; and (2) assure that missing technology is developed either by encouragement of others or by performing the required research.

Many types of information handling equipment are available and useful to information and service facilities such as microform, facsimile, video, data terminals, telephones, optical systems, magnetic recorders, etc. Lacking are efficient economical communications to link them together into an integrated system, as well as the devices and standards to promote orderly development and interconnectability of the system.

The Federal Telecommunication Standards Committee of the National Communication System has determined requirements for standardization of data rates, message formats, link control procedures, synchronization methods, electrical interfaces, network performance, and other parameters. The Cable Technical Advisory Committee for the FCC has determined requirements for standardized cross modulation, intermodulation noise, discrete frequency interference, terminology video beat interference, cross-picture interference, signal leakage, and other factors.

This activity is to develop and demonstrate techniques for using telecommunications to make better use of the nation's energy and to promote the use of these techniques in government and industry and the nation's communities by the following subobjectives.

1. Serve as a catalyst for government and industry on telecommunications and energy matters.

- a. Periodic production and dissemination of films, brochures, and documents to keep industry and the public aware of the need for energy conservation and to describe ways to save energy by use of available communication services.

- b. Participate in conferences, panels, meetings, and discussions to provide technical assistance and telecommunications know-how in the solution of complex energy conservation problems.

2. Effect a more extensive and effective use of telecommunications on a nationwide basis for the transfer of information in lieu of such transfer by vehicular transport.

a. Conduct a baseline study, including survey of activity in Australia, Canada, England, and other countries, as well as a survey of the state of the telecommunications technology to meet the objective.

b. Test the feasibility of the 'remote work center' concept, using available video and audio conferencing techniques and facsimile and data terminals.

c. Design an experiment for work decentralization to prove that substitution is feasible and develop a program for the conduct of the experiment.

d. Conduct the experiment.

e. Evaluate the experimental findings.

f. Develop and conduct actions to transfer the lessons learned and to realize the conservation possible.

3. Bring about a more effective and more extensive use of telecommunications during the energy processes.

a. Conduct a baseline study of applications such as to navigation, detection, and automation to determine the extent to which telecommunications is and might be used during the energy processes: i.e., exploration, location, extraction, conversion, and delivery to consumers.

b. Develop and make recommendations to effect a better and more extensive use of telecommunications technology during the energy processes.

4. Bring about reduced energy requirements by telecommunications devices. We know now that about 1% of the total electrical energy generating capacity of the U.S. could be saved by redesign of television receivers and if TV broadcasting hours were reduced, the total receiver and station savings would be greater than 1%. Additional evaluations are needed: for example, how can we speed conversion from vacuum tubes to integrated circuitry and to what degree will earlier than projected fiber optics transmission conserve energy.

JUN 75

a. Conducts an evaluation of telecommunications devices in order to determine their energy consuming requirements in the context of the total energy consumption of the nation, to identify potential reductions that might be effected and to determine critical energy requirements which should be given priority.

b. Develop and take such actions as are pertinent to bringing about the identified reductions of energy consumption.

Executive Order 11748, December 4, 1973 established the Federal Energy Office and charged all Departments and Agencies to cooperate with that office.

The President's Statement and Memorandum to all Departments and Agencies, April 14, 1974, directed them to assist in the meeting of the Administration's energy conservation goals.

The Office of Telecommunications is directed to assure effective use and growth of scientific and technological resources.

A central governmental catalyst is needed. The catalytic force does not exist elsewhere in the government. The Office of Telecommunications has the required competence that the Federal Energy Administration lacks.

It is expected that the results of this work will be: (a) a public education program achieved through the showing of films to the public over broadcast television the distribution of brochures to other government agencies and the industry, and by State and local -- as well as industry -- elements at fairs, conventions, etc.; (b) up to 16% reduction of total vehicle miles traveled over the next few years -- primarily in commuting and secondarily in long distance (intercity) travel; (c) increased use of telecommunications in support of energy functions and processes; and (d) an effort on the part of industry to reduce even further the power consumption of consumer items (television receivers, radios, etc.).

The analysis of communications for energy conservation, prepared in cooperation with the Federal Energy Administration, recommended demonstration of new communication

JUN 75

systems which could reduce long distance travel, allow decentralization of work forces, reduce daily commuting and more efficient use of vehicles. Cost reductions up to 26 to 1 and energy reductions up to 500 to 1 could be realized by using these communication systems in lieu of travel and 40 percent reduction of vehicle use could be obtained by mobile communications.

The analysis of community communications, prepared in cooperation with the Department of Housing and Urban Development, showed that community communication systems could be modernized. Interconnecting community, state, and Federal systems with community centers can be a key to encouraging new systems that private enterprise could operate.

In the next few years laboratory models for community information and service centers and remote work facilities will be developed, systems for making Federal information available to these community centers will be implemented, and recommended systems and techniques for linking these community centers will be developed.

3. Technology Application. Federal agencies and State and local governments do not now have adequate technical criteria, requirements, and guidelines to assist them in applying new and existing telecommunications technology to their problems. This work is to identify the technical reasons telecommunications technology is not being applied to meet potential applications and to see that the missing techniques and systems are made available.

Problems identified by the Mayor's Committee on Cable Communications for the City of Baltimore for instance show that more information is needed on: technical and other requirements to protect privacy, the extent to which interconnected city and required systems must carry signals of other systems, minimum technical standards for signal transmission, needed and desirable one-way and two-way services for incorporation into the system, the extent and distribution of facilities throughout the city, the communication capacity and system design required, clarification of city, State, and Federal regulatory roles, financial ownership and control plans. These and other unknowns are common to communities throughout the country.

The Congress in passing the Housing and Community Development Act of 1974 (Congressional Record, August 12, 1974), finds that the nation's cities, towns, and smaller urban communities face critical social, economic, and environmental problems and that the future welfare of the nation and the well being of its citizens depend on the establishment and maintenance of viable urban communities as social, economic, and political entities which will require effort at all levels of government to streamline programs and improve the functioning of agencies responsible for planning, implementing, and evaluating community development efforts.

The Housing and Community Development Act provides for assistance to community development programs for neighborhood facilities and centers, for provision of public services not otherwise available and for activities necessary to develop comprehensive community development plans.

The function of this effort is to promote and facilitate the development and application of new telecommunications technology. The objectives for the budget year are to encourage and assist government agencies to provide information and services in electronically locatable and deliverable form.

Major efforts are underway by the National Science Foundation for delivery of information and services by interactive cable television, by the Department of Health, Education, and Welfare for delivery to regions of the country by domestic satellite, and by others. The Technology Application program provides technical inputs that contribute toward the success of these efforts. Further, it provides a source of Federal information which can be queried by federal and community facilities through new communication networks to improve access by the people to Federal Government information.

Many requirements for information from the Federal Government and community facilities could be handled automatically, particularly for repetitive requests and where referral to other sources of information is required. Often the information is not available through the Federal Government but can be obtained from other communities. Effort is needed to promote the use of many systems which already exist by supplying communications technology to make this information available.

JUN 75

The Housing and Community Development Act of 1974 recognizes the increased need by communities for Federal Government assistance in providing information needed to identify problems and opportunities. The Freedom of Information Act and Intergovernmental Exchange Act further provide for better access and interchange of information in the Federal Government. These new systems will contribute to the implementation of these Acts. An existing Memorandum of Understanding between HUD and DOC agrees that DOC will provide technical assistance to HUD in meeting their responsibilities.

The objectives of this element are to demonstrate the application of information systems and communication technologies for delivery of services and for improving business and government operations in U.S. communities, and to assist state and local governments in the application of these technologies by the following four subobjectives:

1. Working in cooperation with other Federal agencies such as HUD and HEW and with local governments, have in operation in a U.S. neighborhood an automated "Community Information and Service Center" to improve coupling between the people and their local government and better provide public services.

- a. Perform a baseline study outlining how communities now offer various kinds of municipal services which may be provided by telecommunications; prepare a list of existing services which might be incorporated into the CISC program.

- b. Identify important factors to be addressed relative to services to be offered and the mechanisms by which they will be offered, and develop criteria by which these factors may be evaluated. These factors will include but are not limited to: expected public demand for candidate services, effectiveness of present service delivery methods, and the willingness of public and private institutions to support and participate in the CISC program.

- c. Develop guidelines for the design of information handling and delivery systems to be used in the CISC program. Design considerations to be addressed include but are not limited to:

JUN 75

- o the balance between manual and automatic information handling procedures,
 - o the degree to which members of the public will be encouraged to personally operate terminal equipment at the CISC,
 - o procedures for accepting inquiries, and
 - o training requirements for staff at the CISC itself and at information sources throughout the municipal government.
- d. Identify, to the extent possible, institutional factors which may affect initiation, continued operation, and phase-out of the CISC program. Particular attention will be paid to the means for phasing out direct Federal participation in the control of the CISC program.
- e. Develop criteria for comparing communities in which the CISC program may be carried out. Factors for which criteria will be developed include but are not limited to: demographic considerations, city size, and receptiveness of the administration and the community.
- f. Develop guidelines for the location of the Center or Centers within the community. Considerations will include but are not limited to: the expected number of people to be served by each Center, convenience of access to the Centers, and the relation to existing neighborhoods.
- g. Develop guidelines for assessing the mechanisms for transferring findings of the program to other communities.
- h. Collect techniques for quantification and measurement of human satisfaction, consensus, judgment, estimation, and preferences relative to existing conditions. Assemble these techniques and findings into systematic methods for evaluation social impact and effects such as have been hypothesized to be benefits of improved community communication and information services.

i. Identify procedures for data gathering and criteria for evaluation of the effectiveness of CISC service delivery. Both objective and subjective factors will be considered. Objective factors include but are not limited to: amount of use, characteristics of users, and costs of installation and operation. Subjective factors include but are not limited to: public acceptance, perceived effectiveness of service delivery, changes in citizens' attitudes toward their local government, and benefits which may accrue to the Federal and State governments as well as to the local governments.

j. Assemble equipment such as recommended by the National Academy of Engineering for community information centers into an operational system for testing proposed information and personal service delivery techniques such as would be used in community centers, business establishments, homes, and government agencies. Investigate information substance and structure and develop procedures for reducing cost of service provision. Utilize system in normal government operations to gain practical experience. Provide recommendations for evaluating and modifying contracts and plans to take advantage of advance and practical techniques.

k. Select a site or multiple sites for implementing community information and service centers in one or more U.S. communities and arrange for community, government, and institutional participation.

l. Provide technical assistance in the installation and implementation of the system in parallel with assistance of other Federal agencies in their areas of responsibility.

m. Provide technical assistance during the operation of the system making modification and improvements as required.

n. Evaluate the system, service, operation and effectiveness of the community information and service center.

2. Have in operation within the Office of Telecommunications a Communication Technology Information System to improve response to state and local governments, the public, industry, and other Federal agencies and therefore demonstrate the use of electronic communication technology to improve availability of information for the Federal government.

b. Develop plan for creation of computer file so that system can be utilized as additional information is added including file size, security classifications, frequency and speed of file reference, rate of file additions and deletions, and ways and means of obtaining various levels of computer privacy in a time and resource shared mode.

d. Determine information system requirements, data base design and retrieval system to be used.

f. Determine computational, text editing and other programs that would be required.

h. Determine costs including operation and maintenance and arrange for cost sharing system.

JUN 75

- j. Prime and test system.
 - k. Develop data base and load initial information.
 - l. Make system available to CISC and to State and local governments to the extent feasible using existing conventional communication facilities.
3. Working with local governments and other Federal agencies, have in operation a Community-Government Information System to couple Federal government information systems with community information and service centers and remote work centers to provide to the public and local governments efficient access to Federal services.
- a. Investigate technologies which may be used in the future, if community communication systems resulting from demonstrations and experiments implemented or planned become operational. These technologies include glass fiber transmission paths, multimode waveguide, active coaxial cables, integrated communication circuits, and multifunction terminals. Estimate possible relative costs and possible effects on current systems. Determine possible effects on direction, conclusions or results of contracts and community communication policy.
 - b. Assemble equipment to provide communication circuits between offices of DOC and other Federal agencies. Utilize this link in normal government business operations associated with the community communications program and other programs, to test effectiveness in reducing travel between agencies, increasing interaction, expediting communications, promoting efficiency, and other hypothesized improvements. This will serve to put into actual practice some of the recommendations resulting from the New Rural Society project and the National Academy of Engineering. It will provide operating systems for observation.
 - c. Determine techniques to be used and routing to the test Community Information and Services Center, the Remote Work Centers and the various Federal agencies.

d. Arrange through carriers, contractors or install directly communication links.

e. Test communication circuits to determine reliability and identify requirements for further research.

4. Develop a model plan for an integrated community communications system in cooperation with the National Academy of Engineering and other Federal agencies. This plan is required to optimize installation, operation, maintenance, regulation and policy and to be used in assisting Federal agencies, industry, and communities in implementing new systems for delivering human services, for work dispersal to conserve energy, for installation of guided systems to conserve spectrum and for other purposes.

a. Obtain from the National Academy of Engineering a study to: identify telecommunication issues which will be faced by Federal agencies during the next ten to fifteen years; identify opportunities for the integration of existing metropolitan communications services; describe metropolitan communication technology developments which may be implemented within the next fifteen years; describe ways in which possible new systems and technologies could be integrated into or replace existing or new systems; identify social and economic costs involved as well as benefits; identify indicators which show growth of applications with availability of resources; and describe potential changes in present Federal regulations, public, and private institutions, and mechanisms available to Federal agencies which may be required.

b. Provide technical assistance to the National Science Foundation and other Federal agencies on their contracts relating to community communications including cable television experiments, energy substitution experiments, and urban community studies.

c. Work with community communication officials through the intergovernmental personnel act and as feasible to obtain direct input on telecommunication requirements and problems delaying implementation of required systems and the application of useful communication technology.

d. Investigate existing urban communication system, which have evolved by a series of suboptimum decisions over a long time (mobile communications, cable television, over-the-air broadcasting, telephone, facsimile, mail, etc.). Identify current and imminent government procedures and policies. Determine how changes in urban communication systems and practices could affect the functions of communities and their governments. Provide suggestions for approaches, policy, and research required to improve urban communications.

e. Integrate the findings of the NAE, NSF, other Federal agencies, the work with communities, with other reports, and the direct investigation into a composite plan identifying gaps in the technology, equipment which may be required, specifications and standards and areas where research is needed.

f. Develop measurement techniques and proposed standards for urban communications facilities of interest to government agencies. These include but are not limited to: cable television systems, for which the Federal Communications Commission is now formulating technical standards; mobile radio systems, of interest to public safety agencies as well as to other government users; systems which may be included in home construction, of interest to the Department of Housing and Urban Development; and systems which may provide communications for public services of interest to the Department of Health, Education, and Welfare.

g. Develop an integrated plan with details required for community officials to identify and implement systems as required as guidance for Federal policy, operation, and research agencies to use for planning and applications of communication technology.

h. Develop technology to fill identified gaps with industry as appropriate to assure that plan can be carried out.

The hypothesis of this program is that if useful information is provided at a point in a community in electronically deliverable form, private entrepreneurs will provide distribution via cable or similar systems.

JUN 75

The four major objectives of this program will (1) provide for access to information by officials and citizens in a community, (2) provide information in a form accessible by electronic means, (3) provide telecommunications systems to link communities with Federal information sources, and (4) to provide communities and Federal agencies with guidelines for implementation of the required systems.

The impacts will be:

1. Reduced costs of community information and services,
2. Improved communication between the citizen and his government,
3. Provision of more services directly to and at the choice of the citizen,
4. Reduced alienation between the citizen and his community,
5. Provision of better information to the government on community problems and needs,
6. Provision of opportunities for a broad range of new and expanding information industries,
7. Improve the U.S. position for export of community and home information products,
8. Increased U.S. productivity,
9. Provision of the nation with a valuable new resource,
10. Improve the management capacity of State and local governments,
11. Conserve spectrum space by promotion of nonspectrum using techniques, and
12. Reduce the technical uncertainties which hinder application of telecommunications to vital community processes.

JUN 75

The Office of Telecommunications is directed to assist other Federal agencies, states, and communities in the use of telecommunications and providing advisory services in telecommunications to agencies of Federal, State, and local governments in support of the Department of Commerce charge to assist States, communities, and individuals toward economic progress directly and by assisting other Federal agencies in the application of telecommunications technology to national needs.

By Memorandum of Understanding executed July 23, 1970, the Secretary of Commerce and the Secretary of Housing and Urban Development agreed to a coordinated approach for performing the functions of the Secretary of HUD through the utilization by HUD of the analytical, research, test, and development capability of the Department of Commerce. By subsequent agreements, because this work furthered the missions of both Departments, joint funding arrangements were made. The Housing and Community Development Act provides for Federal Government assistance for such things as developing and analyzing information needed to identify problems and opportunities. The Department of Housing and Urban Development is responsible for this assistance.

Community distribution systems would provide a major market American industry is waiting to supply. Government offices at all levels need to determine citizen needs and supply him with services. OT is working with the Federal Energy Administration on means and requirements for using telecommunications to enable dispersal of working facilities as will be required to keep the U.S. energy dependency from increasing. OT is working with the Department of Housing and Urban Development on needs and means to provide information to communities and the communications systems required as a result of communities polarizing into neighborhood structure. OT is working with the other Federal agencies to determine standards and measurement techniques for communication systems to be used by the Federal Government. These specifications to a great extent will determine those used by communities.

It is appropriate that OT, in carrying out its charge to provide information and alternatives for the resolution of commercial policy questions and for more efficient allocation and utilization of telecommunication resource, consolidate this information into a form which can be used by all communities in the country and the related industries as well as Federal agencies.

JUN 75

The systems required to accomplish these objectives are not the products of a single industry and the responsibilities for operation not that of a single level of government. Therefore, it falls to the Federal Government to provide the central effort to which industry and other government agencies can provide assistance.

To initiate and implement all of these activities, including their combined objectives, the Division has a very modest staff of only about ten employees most of whom are highly trained and experienced professionals.

All of the official documentation of the Division is maintained in files located in the Division and arranged according to a coordinate indexing system developed by the Department of the Air Force.

Current manual document retrieval schemes are based on coordinate indexing, which is the use of selected words that collectively describe each document. These words are variously called uniterms, descriptors, or keywords, and an average of perhaps 6 to 10 are assigned to each document.

Briefly, the system works as follows: each incoming document is assigned a unique serial identifying accession number and a bibliographic record is made of the author, title, source, and other useful information. This record and the document are then used by the indexer to identify a suitable number of keywords for each document. Ten-column keyword or uniterm cards--are typed with the keyword in capital letters in the upper left corner of the card, and the document number is entered in the appropriate column of each card; the column used is that of the units digit in the accession number. Retrieval is carried out by first scanning the BROWSE list of keywords to select several that collectively describe the idea or subject on which information is needed. The corresponding keyword cards are then taken from the alphabetical card file and the document numbers on each card compared. Those occurring on all cards are selected and can be pulled for examination from the document file where they are located by the serial accession number. A signed document-out card is placed in the document file as each document is removed. Retrieval efficiency is about 90% since the words used by the indexer and the retriever are not always the same.

JUN 75

Information which is not in a form that can be readily accessed remotely is often a primary barrier to effective communication and delivery of services. Remote access to information can lead to reduction of energy use through reduced commuting and travel. Full utilization of communicating typewriters and other communication terminals cannot be realized until interconnectable information systems become mutually usable.

In the next few years efforts will be aimed at promoting general business awareness in the use of telecommunications for conservation of energy. This was done by films which were shown nationwide to millions of viewers and by brochures which were reproduced and distributed by industry by hundreds of thousands.

Efforts include: putting community information facilities into operation; encouraging Federal organizations to use decentralized work facilities as an example for the business community for purposes of improving operations, improving public service delivery, and conserving energy; and providing automated information services in a form that is compatible with the equipment used in these new facilities.

Office of the Chief

102. Telecommunications Analysis Subject File - As explained above this file serves all staff members of the Division and with one or two exceptions contains official record copies of all documentation generated by the Division.

Within the file the papers are arranged numerically according to keyword and document numbers in consecutive order. At present the hard copies in this file are used to retrieve data from incoming items to be used with data read out by the computer from relevant outgoing material which is computerized in its entirety. This arrangement looks toward completion of a system wherein the whole content of the file will be completely computerized and subject to automatic retrieval through computer terminals.

Retire to SHA in 5 years consignments, transfer to WNRC 1 year later. Dispose when 15 years old.

JUN 75

103. Project Application Files - These are case files which contain copies of documentation concerning the initiation and conduct of each project undertaken. Papers found in each case usually include: (1) memorandum or letter project request, (2) project proposal, (3) workplan, (4) cost estimates, (5) milestone plan, (6) project cost report, (7) supporting paper directly related to the project, and (8) copy of final report.

Once the case has been closed these papers appear to have a relatively short term value for financial and other management purposes.

File closed case separately and retire to SHA in mutually agreed upon consignments. Transfer to WNRC and dispose when 10 years old.

104. Administrative Subject Files - These contain office copies of the usual housekeeping papers on such matters as accounting, budget, conference and meeting arrangements, personnel, requisitions for services and things, space, travel, work copies of Departmental orders and other agencies directives, and the like.

Although these papers are separately described as a separate file, many of them are incorporated in the Telecommunications Analysis Subject File, and it is intended that those as well as any other papers found in the office answering the description in this item shall be treated in accordance with it.

- a. Personnel Name Case Files - Dispose 1 year after separation of the subject employee.
- b. All Other Papers - Move active papers forward and dispose of all others when 2 years old.

105. Telecommunications Technical Data Files - These contain the papers generated or collected by each professional during the conduct of an assignment and kept by him until his investigation and findings are completed.

The material includes workpapers, drafts, preliminary analyses, spreadsheets, printed secondary source material and similar papers of direct or tangential interest to the professional in the course of producing a final report.

JUN 75

At the appropriate time many of these papers are selected and filed in the Telecommunications Analysis Subject File. The remainder of the papers appear to have no value after the need of the professional concerned has been served.

Dispose of individual documents or the contents of file folders when they have served their purpose.

(Magnetic Tapes)

The Telecommunications Analysis Division, OT, is provided computer services by the National Bureau of Standards, Office of the Secretary, and General Services Administration. Each of these agencies is responsible for appropriate maintenance and ^{disposal} disposition of magnetic tapes and other materials generated in their respective shop in connection with TAD computer operations ~~but not for the disposition of the OT information recorded thereon.~~

106. Audio Tapes - The Telecommunications Analysis Division, OT, also has records of conferences, briefings, workshops, and similar oral discussions on audio magnetic tapes.

- a. If Material Has Permanent Value - Transcribe and file in subject or project files.
- b. All Other Material - Erase so media may be reused.

(Printouts)

107. Program Printouts - These are printouts of commands to the computer to automatically process specified data in a specified manner.

Dispose when superseded.

108. History Maintenance Files - These are printouts of all of the data in the memory bank of the computer.

- a. If Filed Separately - Dispose when 15 years old.
- b. If Filed in Telecommunications Applications Subject File - Dispose along with it.

JUN 75

109. Preliminary Printouts - These are produced to serve a purpose for one workstep or process. After the workstep or process involved is completed, these printouts appear to have no further value.

Dispose when they have served their purpose.

JUN 75

POLICY SUPPORT DIVISION

The Policy Support Division, OT, was established August 25, 1971 pursuant to the provisions of Section 13, Executive Order 11556, signed September 4, 1970. Under the general direction of and with the approval of the Director, OT, the Division is responsible for providing research and analytical support to the Secretary of Commerce in national, international and Federal Government telecommunications areas. The Division also has a special mandate to provide the same kind of policy research and analysis support to the Director, Office of Telecommunications Policy (OTP), Executive Office of the President. To facilitate the implementation of the program to the greatest benefit of the Director, OTP, it was provided that the lines of communication between the staffs of OTP and the Division for the exchange of programmatic information would be direct. It was also provided that the Director, OTP, would evaluate the program performance executed by the Chief, Policy Support Division, OT.

In performing these functions, the Division does not resolve policy issues, nor does it formulate proposed policies. These are the responsibilities of the Director, OTP and of the Secretary of Commerce within their respective jurisdictions. The Division does provide underlying research and analysis, which ultimately contribute to policy resolution and decision.

Although the Division's research mission is one of gathering information and statistics, as well as noting trends and performing analyses, effective research affecting so vital an industry as telecommunications cannot be done without a complementary understanding of social and economic realities. The staff of the Division fills the needs with an informed multidisciplinary team of highly qualified professionals in such related fields as economics, engineering, communications, and government.

Examples of recent policy research and analysis efforts include the following subject areas:

- o Structure of telecommunications industry,
- o Mobile communications,

JUN 75

- o Broadband cable systems,
- o Computer communications,
- o Efficient government telecommunications, and
- o International telecommunications.

As noted above all of these policy research and analysis activities fall within one or more of three basic areas, which are defined as follows:

- o National (Domestic) - includes regulatory and entry issues involving common carriers, land mobile, cable television and data communications and other areas related to domestic, non-Federal telecommunications.
- o Federal Government - includes the government's purchasing policy, adequacy of government communications systems, application of new technology, emergency communication systems, and government data systems.
- o International - includes market tariff rates, competition and technology related to international telecommunications, particularly in the area of satellite telecommunications.

In recent years in the National area, telecommunications has emerged as an area where policy formulation plays an increasingly important role. The problem of regulating the common carrier in becoming more complex and demanding as applicants for entry into this market bring pressure for reexamination of common carrier regulatory policy and Executive Branch study is essential. Cable TV and computer communications are among the growing fields where policy issues are numerous. In the light of this expanding market and the acceleration of our technological development, the need for continuous and informed analysis by the highest-level decision makers for development of controlling policies, can be understood.

In its area, the Federal Government, as one of the largest users of communications systems, must continually assess the effectiveness, cost, and suitability of its owned and leased communications equipment. The soundness of the research and analysis efforts of the Division is a large

JUN 75

part of the insurance held by the private sector that it will receive a commensurate share of the industry's attention and products.

With respect to the International area research and analysis efforts have been recently focused on development of information about international telecommunications systems, economics, trade, technology and financial matters.

For instance, a computerized forecast model to measure the U.S. international telephone, telegraph, and telex traffic has been designed and developed. This model will help to analyze traffic, to estimate international circuit requirements, and to evaluate carrier proposals for the allocation of new facilities.

The Policy Support Division is widely separated geographically having a part of the staff located in Washington, D.C. and a part in Boulder, Colorado.

A part of the Division's headquarters staff was located in Boulder in August, 1971 which is designated herein the Policy Support Division Detachment-Boulder. It was decided that substantial benefits would be realized by locating a contingent of the Division's staff away from the pressures and other distractions of Washington, D.C. and near the Boulder laboratories. The Detachment and its records are described more fully elsewhere in this Schedule.

Office of the Chief

In Washington, a files station is maintained in the outer office of the Division, which serves all members of the local staff. Most of the correspondence handled is initiated within the Division, and it usually deals with actions and technicalities required in the conduct of the project involved. Accordingly, the incoming and outgoing items of this correspondence find their way to the professional concerned and he places them in his Policy Analysts Technical File. All papers of any importance in this file are ultimately selected and included in the General Correspondence File which is kept long enough to meet all needs.

110. Administrative Subject File - These contain office copies of the usual housekeeping papers on such matters as

JUN 75

accounting, budget, personnel actions (including personnel case files, biographical sketches), reports, contractors (potential), brochures and releases, letters of appreciation, publications, requisitions for services and things, training, travel, work assignments, copies of directives, regulations and other authoritative material, technical information collected on special tasks or projects and the like.

- a. Personnel Case Files - Dispose 6 months after separation of the subject employee.
- b. All Other Papers - Move active files forward dispose of individual documents or contents of file folders when 2 years old.

111. General Correspondence (Chrono File) - This contains copies of incoming correspondence with a copy of the response and any related material that may have been generated by the Chief of the Division.

The papers are arranged chronologically and they appear to have no further value after the operating and managerial needs for them have been served.

Retire to SHA when 5 years old in annual consignments. Transfer to WNRC and dispose when 15 years old.

112. Circulating Reading File (So Called "Q1" or "pink copy file") - This is comprised of a copy of each outgoing item generated by all members of the staff including those located in Boulder, Colorado. The purpose of this file is to keep all concerned currently informed of the most recent authoritative actions of the Division, and to establish a climate that is most conducive to the cross fertilization of ideas among staff members. Further, the file is specially constructed to respond to certain work habits peculiar to the needs of a professional group engaged in this particular type of discipline.

The unique uses made of the file more than justifies its retention for the specified period.

Dispose when 5 years old.

JUN 75

113. Policy Research Estimates (PRE) and Policy Options Formulations (POF) - As noted above the Division does not resolve policy issues nor does it formulate proposed policies. As a result of the required research and analyses, the Division produces Policy Research Estimates and Policy Options Formulations for the use of the Director, OTP and the Secretary of Commerce in selecting the appropriate option for resolution of the policy problem under consideration.

The file contains one (1) copy of each of the PRE's and POF's that are produced by the Division. These documents contain a summary analyses of the research and data generated by the Division in the course of its investigation of the subject area involved.

To some extent the content of these documents is reflected in authoritative policy and other statements issued by the OTP or the Secretary of Commerce. A selected few of the PRE's and POF's are published by OT. However, these treatments cover such a small percentage of the total data found in these documents that it is felt that this collected set contains a vast amount of information that has long term value for general research in the telecommunications field and for a continuous understanding of emerging developments in the complex field of telecommunications.

12 CF ~~PERMANENT~~
~~Retain.~~ Retire to SHA when 5 years old, in annual consignments and transfer to WNRC. ~~OFFER TO NACS WHEN 20 YRS OLD.~~

114. Card Register of PRE's and POF's - This is a (3X5) card index of each PRE or POF that is produced. It shows the number assigned to the report, its title, the name of the research leader, the date, and usually an abstract of the content of the report.

These cards are used to produce a Compilation of Policy Support Division (PSD) products which is a running list of all PRE's and POF's produced. The cards also serve as a convenient source of reference in giving a quick response to telephone and personal inquiries concerning the report.

Dispose of individual cards when they have served their purpose.

JUN 75

115. Compilation of Policy Support Division (PSD) Products - This is a processed list showing the number, title, name of research leader, and the precise description of each of the documents.

o5 cf PERMANENT Retain. Retire to SHA a copy of the compilation covering the PRE's and POF's that are being retired at the same time. Transfer to WNRC with the related material. OFFER TO NARS WHEN 20 YRS OLD.

116. Policy Analyst's Technical File - This contains all of the papers concerning the administration of the project and all of the related technical materials generated or collected by the policy analysts in the course of producing a final report. Included in the file are such things as project proposals, letters of agreement, workplan, cost estimates, milestone plan, spreadsheets, drafts, preliminary analyses, secondary source printed material, and similar items that a professional engaged in original research and analyses usually generates.

Most of this material has no value after completion of the subject project. However, some of the papers have a somewhat longer term value for legal and managerial purposes. These papers are segregated from the others of a shorter term value for inclusion in the General Correspondence File which is kept long enough to meet all needs.

- a. Selected Documents - Move forward and file in the General Correspondence File.
- b. All Other Papers - Dispose of individual documents or contents of file folders when they have served their purpose.

(Magnetic Tapes)

Because of heavy work commitments and the limitations on resources, the Division so far has made only very limited use of automatic data processing. To meet its need, it has procured computer time from National Service Bureau, National Bureau of Standards, and from the Institute of Telecommunications Sciences, Boulder, Colorado. To date, the policy analysts have managed to satisfactorily main-

JUN 75

tain the records produced under these arrangements without guidance. However, a plan is now underway for the Division to establish a broad based data bank under its control so as to increase the Division's research and analysis capability.

The items below are intended to provide for appropriate disposition of the machine records now on hand and to point the way for policy analysts to revise this schedule if the Division expands its use of computers to include a large data bank.

117. Program Tapes for Models - These tapes contain commands to the computer to automatically process specified data to produce a mathematical model. These models are used to project costs.

Scratch when they have served their purpose.

~~Retain. Retire to SHA when no longer needed for current business and transfer to WNRC. OFFER TO SHA WHEN NO LONGER NEEDED~~

118. History Maintenance File - These tapes contain all of the data stored in the computer memory for use through an on-line system. The data system is updated periodically, usually on an annual or biennial basis.

4 tapes

Retain. Retire either the master operating tape or a duplicate to SHA when no longer needed for current business and transfer to WNRC.

DISPOSAL NOT
APPROVED

119. Subset Tapes - These are tapes written to automatically produce given calculations or to serve a purpose for one workstep or process.

Scratch when they have served their purpose.

(Printouts)

120. Source Data System Printouts - These are printouts from an on-line system containing OTP library material and abstracts of the PRE's and POF's retrievable by keyword commands. These printouts are used by the policy analysts to retrieve source data needed for his current assignment.

Dispose when they have served their purpose.

JUN 75

121. Preliminary Printouts - These contain data that are analyzed for inclusion in a PRE or POF. In other cases, the printouts are produced to substantiate or verify given findings or conclusions.

Dispose when the related PRE or POF is completed and accepted.

(Punchcards)

122. Punchcards, Paper Tapes, and Other Input Media - These are produced to translate data into machine language for automatic data processing.

Dispose or scratch, as appropriate, when the data is transferred to a magnetic tape, disc, or some other computer media, *OR WHEN IT HAS SERVED ITS PURPOSE.*

JUN 75

Detachment - Boulder

A unit of the Washington-based Policy Support Division, the first non-ITS element of OT in Boulder, was formed in August 1971, and assigned quarters in the Radio Building, Boulder, Colorado.

Under a working agreement signed by Assistant Secretary for Science and Technology, Department of Commerce and the Director, Office of Telecommunications Policy, Executive Office of the President it was agreed that the professional personnel of the Policy Support Division would be selected with the concurrence of OTP. It was also agreed that the line of communications between OTP and the Policy Support Division would be direct.

Early in 1971 in considering the establishment of a Policy Support Division, top-level decision makers examined and mulled on the proposition that there would be advantages in locating a contingent of the highly trained specialized staff of Telecommunications Policy Analysts at some place away from the distractions and pressures of Washington. The potential of the idea was so appealing that it was decided to adopt it on a trial basis.

In August 1971 the Policy Support Division Detachment was located in Boulder, Colorado where a considerable number of telecommunication scientists and other professionals specializing in the field were employed by the ITS and other elements of the Department. Although it is geographically separated from the rest of the Washington-based Division, the new Detachment is still organizationally a part of it.

The objectives, and functions of the Detachment are the same as those of the Division. For purposes of management and leadership the Detachment is headed by a chief and below this level there is no organizational subdivision within the Detachment. The individual professionals on the staff work interchangeably on one or more projects.

An official filing station to serve the whole Detachment is maintained by the Chief's secretary with the assistance of such recordskeepers as may be necessary. Record copies of papers documenting the substantive transactions of the staff are placed in a single subject file with a few exceptions.

JUN 75

Each of the program assignments given the Detachment is assigned a distinctive title and a case file is maintained for it in the subject file along with the supporting documentation generated in the conduct of the project. The staff is now in the process of reviewing the papers that have accumulated in the file for the purpose of redefining the group, program area, subject headings, etc. for the purpose of improving the filing scheme so as to make the file more responsive to demands.

Office of the Chief

123. Policy Support Subject File - With the exceptions described below, this file contains record copies of all papers generated by the Detachment.

The file is arranged first by fiscal year and thereunder in two subgroups (1) Administration, and (2) Baseline Programs. Under this primary group heading the papers are further arranged under three secondary program areas as follows: (1) International, (2) Federal Government, and (3) Non-Government. Within each of these secondary areas the documentation is subdivided by tertiary guides bearing the titles of subprogram categories and behind these the project case files are filed alphabetically by title.

Each case file contains basic documents including (1) Task Statement (work plan), (2) Memorandum of meetings and telephone conversations, (3) Progress Reports, (4) Abstract of Policy Research Estimate, (5) Contract or Project Agreement, and (6) All Correspondence related to the origin and conduct of the project. Behind each project case file the technical supporting data related to the project are filed in separate file folders. In many cases, these folders are quite voluminous.

The Administration Group of papers found in this file contains office copies of the usual housekeeping papers on such matters as accounting, budget, committees and conferences, fiscal control, delegations, directives (copies), laws and regulations (copies), purchase orders, requisitions, space, training, travel, work assignments and production reports, and the like. These papers are duplicated for record purposes in the appropriate units of NBS and

JUN 75

NOAA. However, these papers should be reviewed at least annually and any found that are needed for a period of time beyond the prescribed retention period below should be moved forward and kept as long as necessary.

Specially noted in the Group is a small quantity of copies of outgoing items generated by staffers arranged under their names. These serve the same purpose of chronological files usually serve and are called "Staff Correspondence".

The papers found in the Baseline Program Group in the file contain all of the information in the file that has any long term significance. The Project Case Files include the preponderance of this information.

a. Administration Group Papers:

(1) Staff Correspondence - Review file at least annually, move active files forward and dispose of all others when 3 years old.

(2) All Other Papers - Review at least annually and move active documents or files forward, all others dispose when 2 years old.

b. Baseline Program Group Papers:

(1) Project Case Files - Transfer to FRC 2 years after closure of the project and dispose 10 years later.

(2) Project Supporting Papers - Review the papers and select documents of exceptional value for inclusion in the Project Case File. Dispose of all others 2 years after the project is closed.

124. Final Reports - At this writing it has not been the practice to put a copy of the project final report in the Project Case File. Instead, two copies of the final reports are kept in a separate file kept in the Library to make optimum utilization of space. These include type-script and printed Policy Research Estimates and any other final reports produced by the Detachment.

Although, it has been decided to keep a record set of all OT final reports in Washington, it is considered necessary to maintain a record set here as well as the one in

JUN 75

Washington to meet the need of the Detachment and for future research purposes.

6 cf Record set (1 copy each) -- ~~Retain.~~ ^{PERMANENT Transfer to FRC}
2 cfr When no longer needed for current business ~~and~~ offer to the National Archives ^{10 years thereafter.}

125. Analyst's Technical Papers - These are the usual kinds of papers accumulated by an analyst in the course of his investigation of a given project and the production of a final report. These include white tissue copies of correspondence, clippings, drafts, selected secondary source papers and the like which he usually keeps in his bottom desk drawer or close at hand in work space.

Dispose when they have served their purpose.

126. Personnel Name Case Files - This consists of a folder for each employee containing office copies of personnel actions and related papers concerning the subject employee's employment. These papers are duplicated in the Official Personnel Folder for record purposes.

Dispose 1 year after separation of the subject employee.

127. Chronological Files - These consist of one copy of each outgoing item produced that are kept in addition to those maintained in the Policy Support Subject File.

Dispose when 3 years old.

(Computer Services)

The Policy Support Division Detachment is provided computer services by NOAA Computer Services Center which includes production of their source data and program magnetic tapes. This includes maintenance and ^{physical} disposition of these tapes under the provisions of a cross service agreement ~~but not~~ FOR THE DISPOSITION OF THE O.T. INFORMATION RECORDED THEREON.

JUN 75

(Printouts)

128. Master Program Listing - These are printouts of programs developed to command the computer to select and automatically process source data needed in the analysis of one policy step in connection with providing higher authority policy support.

These printouts have value for varied periods of time after the termination of the projects which produce the program. However, after the expiration of this time they are of no value to the Government or the public.

Dispose when superseded or 1 year after termination of the subject project.

129. Intermediate Printouts - These are printouts of source data automatically processed and put in a prescribed array so as to accomplish one analytical or workstep in the course of producing a final project report.

Dispose upon compilation of the analytical or workstep, or 1 year after termination of the project, whichever is sooner.

130. Bi-Weekly Cost Center Reports - This is a printout of the receipts, obligations, expenditures, and balance of funds for the Division and project levels by cost centers.

- a. Bi-Weekly Issues - Dispose when 2 years old and retain the June 30th summary issues.
- b. June 30th Summary Issue - Dispose when 10 years old.

(Punch Cards)

131. Program Punch Cards - These are punch cards on which commands to the computer have been transcribed in machine readable language. They are maintained as an essential worktool for revising existing programs and for preparing new more advanced computer programs to provide automatic processing of source data with similar or subject analytical characteristics.

JUN 75

Dispose when the cards have served their purpose as a worktool and the data which they contain have been transcribed or approved on an accepted tape or equivalent.

132. Source Data Decks - These are cards on which source data have been transcribed in machine readable language.

Dispose when the cards have served their purpose as a worktool and the data which they contain have been transcribed or approved on an accepted tape or equivalent.

(Coding Forms)

133. Coding Forms - These are stereotyped columnar work sheets which the professional and his associates hand post data for keypunch operators transcriptions.

Dispose upon termination of the subject project, or when the data has been transcribed and verified on some other approved medium, whichever is appropriate.

(Microfilms)

134. Microfilm Strips and Reels - These are microfilm images produced simultaneously with a cathode ray tube display primarily for purposes of reproducing inexpensive hard copies. Hard copies of the images on the film are maintained in the Project Case File.

Dispose when they have served their purpose.

(Word Processing System)

135. MAC Cards - These are magnetic cards produced as a medium for automatic production of editorial and final copies of reports, correspondence and much of the paper copies generated by the Office.

Erase and reuse when they have served their purpose.

JUN 75

INSTITUTE FOR TELECOMMUNICATIONS SCIENCES (ITS)

The Institute for Telecommunications Sciences and Aeronomy was one of the Institutes for Environmental Research that was established in the Environmental Science Services Administration (ESSA) on October 1, 1965 by Department Order 2-B. The Central Radio Propagation Laboratory (CRPL) of NBS was transferred to ESSA on July 13, 1965. In 1967 the Institute for Telecommunications Sciences was separated from the Aeronomy program because of major attention being given to the organization of telecommunications interests in the Federal government establishment.

ITS began with the Radio Section of the National Bureau of Standards, founded prior to World War I, which played a major role in the evolution of our understanding of radio propagation.

The military significance of radio propagation was not at first appreciated by the U.S. Armed Forces. Following a mission to this country from the U.K., however, in the spring of 1942, the Washington Communications Board of the Combined Chiefs of Staff took steps to organize a radio propagation laboratory in order to (a) obtain, centralize, and disseminate all ionospheric and radio propagation information for the United States, (b) operate, sponsor, or contract for the operation of such ionosphere stations as were necessary to obtain sufficient ionospheric data, (c) cooperate and collaborate with propagation organizations of the U.K., Canada, and Australia, (d) issue radio propagation information and predictions for the use of the armed forces of the United Nations, (e) train, as necessary, personnel of the armed forces in the use and application of ionosphere and radio propagation data, and (f) make special propagation studies and solve specific radio propagation and communication problems.

Inasmuch as the National Bureau of Standards was the leader in radio propagation work in the United States, the Board decided to set up the new laboratory, to be called the "Interservice Radio Propagation Laboratory (IEPL) at the Bureau, to be financed by transferred funds from the Army and Navy. The Army funds were to come equally from the Signal Corps and the Army Air Forces, the Navy funds from the Bureau of Ships and the Bureau of Aeronautics.

JUN 75

In the summer of 1942, the Washington Communications Board became the Combined Communications Board of the Combined Chiefs of Staff, and the U.S. Joint Communications Board was formed under the U.S. Joint Chiefs of Staff. Each Board had a Wave Propagation Committee, and the IRPL was established formally under the U.S. Joint Wave Propagation Committee.

During the war, the IRPL rendered continuous service to the military services along the lines indicated above. The direction finder study, begun under the National Defense Research Committee, was taken over by the IRPL. Large files of ionospheric and other radio propagation data were accumulated from all over the world, training programs were ran for large groups from the Signal Corps and the Army Air Force, and numerous individuals from both Army and Navy were trained and indoctrinated in the use of radio propagation information and techniques. Continuous liaison was had with the Signal Corps, the Air Force, and Naval operations. Staff members from the British Navy and R.A.F. were assigned to the Laboratory, and liaison officers were named for Australia, New Zealand, and Canada. Regular ionospheric predictions were issued in a form which later became the regular publication "Basic Radio Propagation Predictions" CRPL Series D. Also a disturbance warning service was set up, to forecast ionospheric storms which would interrupt radio communications. Hundreds of special propagation problems were solved, of both technical and strategic value in communications, intercept work, etc., including the determination of best frequencies to use, for many different types of communication in all parts of the world, antenna design, power and receiver requirements, and frequency allocation. During one year alone, for example, over 100,000 copies of various IEPL reports and charts, tables, etc., were distributed to the Army and Navy, not including an operational handbook that served as standard for all the allied forces. In that same year, about 120 special problems were undertaken.

With the development of radar during the war, there came about a need for propagation information of the UHF and microwave frequencies need therefor. Most of this work, along with the radar development, was done under NDRC, primarily at the Radiation Laboratory at MIT.

JUN 75

The service performed during the war not only a literal life saver, through increasing the dependability of radio, but it opened the eyes of the military services to still greater improvements in all their radio equipment that could be attained through research in this field. Experience had left no doubt in the minds of persons dealing with any of the aspects of radio communication, direction finding, radar, radio navigation - that propagation information and research was vital to the use of radio and of any devices employing radio waves.

Accordingly, in November 1945, meetings were called by the Signal Corps to discuss the post-war situation regarding radio propagation work. The discontinuance of the National Defense Research Committee and a survey of the future was needed by the Army, Navy, Coast Guard, FCC, and non-government interests, led to the conclusion that the whole field of basic propagation research should be centralized. In the first place, if the wartime services and progress were not continued, it was apparent that the U.S. would lose much of the benefit of the effort expanded during the war, and would be at a disadvantage in comparison with other countries, while at the same time our military and civilian radio activities would be greatly hampered. In the second place, many agencies had, under the exigencies of wartime, developed organizations working not only on applications of propagation to their problems, but also on fundamental research along parallel lines.

Centralization of basic research in propagation common to all the user agencies named therefore the best way to meet the needs of the country in this field, since in this manner needless duplication of work would be avoided.

The various agencies participating in the Signal Corps meetings at first considered recommending that a separate Bureau be established under the Department of Commerce to serve as the central laboratory. Further study, however, led to the conclusion that efficiency would be promoted by establishing the Laboratory instead in the National Bureau of Standards, inasmuch as the IRPL of the Bureau was a going concern in the radio propagation field.

Accordingly, a strong recommendation was made, especially by the military members, that the Secretary of Commerce be asked to establish a central laboratory for radio propaga-

JUN 75

tion research in the National Bureau of Standards. The Signal Corps offered to, and later did, transfer to the Bureau a number of persons that had been working for them in propagation. In this connection, it was pointed out that, since the work was important to all the military services, as well as in civilian activities such as government communications, civil aviation, commercial communications, broadcasting, industrial applications, industrial development, etc., it was desirable that the laboratory should be supported by direct Congressional appropriation, rather than by transfers of funds.

Appropriate action was then taken by the U.S. Joint Wave Propagation Committee, and, on its recommendation, the U.S. Joint Communications Board of the U.S. Joint Chief of Staff wrote to the Secretary of Commerce on December 26, 1945, recommending that such a central laboratory be set up in the NBS, and that by this means the needs of the Army and Navy would be met as regards basic propagation work common to the various services.

In order to insure coordination of the work of the laboratory with the needs of the various users and with propagation work elsewhere, and in accordance with the suggestion of the USJCB, the Secretary of Commerce invited various agencies to designate representatives on an advisory "Radio Propagation Executive Council", which would guide the activities of the laboratory, including the preparation of the general program of work, establishment of the priority of tasks, preparation and review of the annual budget prior to presentation of it to the Budget Bureau, and review of the program to insure the thorough coordination of the work mentioned above in order to avoid duplication.

Accordingly, on May 1, 1946, the Central Radio Propagation Laboratory was established in the National Bureau of Standards as one of the technical divisions of the Bureau. The Radio Propagation Executive Council was formed, including representatives of the Army, the Navy, the Air Force, the FCC, the CAA, the Coast Guard, the State Department, and the radio industry as represented by the then-existent Radio Technical Planning Board. Included in the CRPL, by agreement with the agencies present at the Signal Corps meetings, were also activities of the old Radio Section of the Bureau other than the IEPL, such as the standards work (including standard frequency broadcasts by

JUN 75

station WWV), the incipient standards work on ultra high frequencies, the radio countermeasures work, and the radiosonde work, all of which are related, directly or indirectly, to propagation. The U.S. Joint Communications Board was particularly interested in promoting the development of standards in the then-unexplored, but rapidly being developed, ultra high frequencies.

In 1949, because of Congressional concern for the vulnerability of government laboratories located in Washington, D.C., and crowding of the NBS Washington facilities, CRPL was selected for relocation. Three sites, in California, Colorado, and Illinois were considered, and Boulder, Colorado, was selected. The first group of CRPL staff, which then included radio standards workers, moved to Colorado in 1951, and the move was completed in 1954, when President Eisenhower dedicated the NBS Radio Building.

Radio standards work was separated from propagation research at that time, and the latter program has evolved toward telecommunications research, engineering and systems applications.

CRPL continued with a leading role during the International Geophysical year (1957-1959). Its Radio Systems Division was formed in 1959, and in 1960 the Upper Atmosphere and Space Physics Division and the Ionosphere Research and Propagation Divisions were formed. In 1962, CRPL was reunified under the guidance of Dr. C. Gordon Little as Director. Shortly thereafter, Dr. H. Herbert Holloman, the first Assistant Secretary of Commerce for Science and Technology, implemented his decision to unify geophysics in the Department by creating the Environmental Science Service Administration (ESSA) which was made up of the Weather Bureau, the Coast and Geodetic Survey, and the Central Radio Propagation Laboratory. This took place in 1965.

At that time, the name CRPL was changed to Institute for Telecommunications Sciences and Aeronomy (ITSA) which more closely described the dual capabilities of the organization. In 1967, the Institute for Telecommunications Sciences, was separated, as a consequence of major attention being given to the organization of telecommunications in the Federal government establishment. Reorganization Plan No. 1 of 1970 and Executive Order No. 11556, estab-

JUN 75

*See next
page 106
(page removed)*

lished the Office of Telecommunications Policy (OTP) in the Executive Office of the President, and assigned particular responsibilities to the Secretary of Commerce in its support. To meet these responsibilities, the Office of Telecommunications (OT) was established on September 20, 1970, and ITS, along with its programs, property, personnel and fiscal resources was transferred to OT at that time.

While no major organizational changes have transpired since that time, major changes in program emphasis have taken place. The ITS serves as the central Federal agency for research on the transmission of radio waves, and is responsible for:

- o Acquiring, analyzing and disseminating data and performing research in general on the description, and prediction of electromagnetic wave propagation, on the nature of electromagnetic noise and interference, and on methods for the more efficient use of the electromagnetic spectrum for telecommunication purposes;
- o Preparing and issuing predictions of electromagnetic wave propagation conditions and warnings of disturbances in those conditions;
- o Conducting research and analyses on radio systems characteristics, and operating techniques affecting the utilization of the radio spectrum in coordination with specialized, related research and analysis performed by other Federal agencies in their areas of responsibility;
- o Conducting research and analysis in the general field of telecommunication sciences in support of other Government agencies as required; and
- o Developing methods of measurement of system performance and standards of practice for telecommunication systems.

ITS satisfies these responsibilities through implementation of three major programs covering:

- o Spectrum Utilization,
- o Electromagnetic Wave Transmission Research and Services,

JUN 75

o Systems Engineering, Test and Evaluation.

Spectrum Utilization. Much of the work in this program is devoted to assisting other Federal agencies in the choice of proper operating frequencies, in the evaluation of various modulation techniques, in making analyses of electromagnetic compatibility problems, and in development of transportable facilities for measurement of spectrum utilization. A major part of the effort is in support of the OT Frequency Management Support Division and is concerned with EMC analysis and measurement of spectrum utilization.

Another important part of the program is concerned with efficient use of the spectrum. A major question which has received relatively little attention in the past is - "how can the number of simultaneous users of a frequency band in a given geographic area be increased beyond current practice without harmful effects." The current trend for many services is to reduce the bandwidth of each available channel, thus increasing the availability of channels. Unfortunately this is not as effective as might be expected, because to the extent that channel width reduces modulation index of FM signals, for instance, the susceptibility of receivers to co-channel interference is increased and the separation of interfering transmitters from receivers must be increased. Thus, in many instances, the optimum bandwidth is greater than the minimum necessary bandwidth, and the use of minimum bandwidths reduces the number of permissible users. Another factor which must be considered is the way the users are distributed in the area of concern and their numbers. ITS is embarking on a program which will investigate some of these factors and the benefits and costs of alternative ways of increasing the number of users per unit of spectrum space. The basic problem is one of evaluating the optimum conditions for communication in interference from similar signals, rather than noise. In general, interference from similar signals has different properties than those of noise. As a result, systems designed to combat noise effectively may not be effective in real world environment in which interference is more significant than natural or man-made noise.

It is planned to investigate some of these concepts by evaluating theoretically and experimentally the optimum conditions for transmitting PSK and PASK signals in the

JUN 75

presence of interference from similar digital signals, AM (DSB and SSB) and FM using various modulation indices, for similar interference. In addition, a model for comparing the performance of various modulation methods and other system parameters in areas containing large numbers of competing users will be developed.

Exceptions are that the output of these studies will be of importance in influencing future use of the spectrum. The analyses should also be of use for frequency utilization problems of other Federal Agencies.

Electromagnetic Wave Transmission Research and Services.

This is an area of research of which ITS and its predecessors have made major contributions over an extended period of time. As a result, high understanding of basic radio wave propagation phenomena at frequencies from a few kHz to 15 GHz has been developed. This tremendous frequency range encompasses all radio wave propagation modes - sub-surface, ground wave, irregular terrain, sky wave, scatter and line-of-sight. Much emphasis has been placed on development of models for prediction of median signal strengths and ITS has made contributions with one widely used. Recently there have been deepening concerns about uncertainties in estimating the performance of large systems before they are built, and in devising better means for using the spectrum efficiently. Both of these areas of concern have made us realize that median signal strengths are not good enough. More work is needed in estimating the uncertainties in transmission loss and, when possible, reducing them. Simultaneously, because of the development of hardware which permits operation of radio services at frequencies above 15 GHz, there is a need for adequate models for estimating transmission loss at frequencies from 15 GHz to 100 GHz and beyond. This need is amplified by the increased susceptibility of signals at these higher frequencies to large sporadic attenuation by meteorological effects, and by molecular absorption which make the optimization of link lengths for reliable operation a risky business at the present time. This work is intended to produce engineering models for use by systems engineers and designers in the design of systems which are reliable and economic, both in terms of cost and their spectrum requirements.

JUN 75

The other emerging problem associated with the growing use of frequencies above about 10 - 15 GHz is the expectation that they will provide much greater bandwidth and information capacity. Natural meteorological phenomena causing multipath propagation limit the available bandwidths when data rates above about 50 Mbits/sec are contemplated.

Thus there is a need for models which will enable the available coherent bandwidths as a function of frequency, path length and climate to be estimated. This is of course in addition to the development of models for predicting transmission loss and its variability referred to above.

Finally, the use of optical signals transmitted through the atmosphere is becoming accepted for short-haul transmissions. Such applications are inhibited by lack of knowledge as to maximum range which can be achieved reliably in various climates. Work done elsewhere suggests that coherent techniques may overcome many of the problems of apparent absorption of infrared by signals, rain, fog, and snow. If this is true, coherent infrared systems may offer a viable alternative to microwave line-of-sight communications systems for many applications.

Systems Engineering, Test, and Evaluation. The work on systems engineering, testing, and evaluation includes design and analysis of a wide variety of terrestrial and satellite radio systems including point-to-point, broadcast, aeronautical, maritime, and land mobile applications, as well as radar, navigation and data transmission systems.

It has also become evident that there is a need for improved engineering measurement techniques for determining the performance of communication circuits. This is particularly true for digital systems which will operate satisfactorily over a much greater range of signal-to-noise ratio than with analog transmission. As a result they give relatively little indication of impending failure. Thus, as a circuit degrades it works well up to a critical point at which it fails without warning. Thus means of measuring performance, and for determining existing margins becomes important.

In addition to continuing work, as appropriate, in these areas, two new areas have been initiated, namely: (1) the use of optical fibers for communications, and (2) develop-

ment of criteria for prescribing and describing, evaluating and measuring the performance of communications both from an engineering and from the end user's point of view. Such criteria are important for both analog and digital transmission of voice, video and data signals.

Optical fibers have potentially enormous bandwidths and developments by industry have yielded fibers having low loss. As a result, one can visualize that fibers in the future will become very important in high-data-rate circuits for short distances as in buildings, ships, aircraft, and CATV. In addition, it is possible that they may be developed for long distance submarine cables, as well as long distance terrestrial communication trunking, and ultimately may replace coaxial cable and waveguide techniques.

In the area of performance criteria it has become clear that there is a need for criteria which will be useful to those responsible for procurement and use of data communication circuits. Such criteria are referred to as user oriented, but while compatible with the wide variety of engineering specifications, must go beyond these. They are intended to be of value to users who are not communication experts, and thus have to be formed in user-oriented terms.

Means for estimating and measuring the performance of voice transmission circuits are also important. In the past Articulation Index has been used for this purpose. Articulation Index is based on performance in noise. Its relevance under conditions of interference of various types or in the presence of distortion, echoes, or quantization noise, has not been properly evaluated.

Finally, in mentioned in the section on EM wave transmission, the influence of atmospheric multipath propagation in limiting the performance of wide-band communication circuits is important. The multipath causes distortion of the signals which introduces "multiplicative noise" which in wide band systems may dominate over normal, thermal, additive noise. Models developed in the EM wave transmission program will be used as the basis for laboratory modelling and simulation of typical bandwidth limited channels. These in turn will be used to evaluate the performance of various equipments intended to be used with

JUN 75

such channels. In this way the testing and comparison of the equipments can be achieved in the laboratory under conditions more quickly, economically, and accurately than can ever be achieved by field testing.

At this time, ITS is comprised of four major subdivisions; (1) ITS Office (Office of the Director and his immediate assistants), (2) Division 1 - Spectrum Utilization, (3) Division 2 - Spectrum Technology and Standards, and (4) Division 3 - Applied Electromagnetic Science. Each of the divisions is headed by an Associate Director, assisted by two assistants to the Associate Director, who reports directly to the Director, ITS.

The papers of ITS are maintained according to a decentralized files plan wherein each operating unit down through the section or group level is a files station where its records are kept. This system works very well since all of the research and analysis performed by ITS is done on a project basis and there is an organized project case file for each task undertaken.

Although nearly all of the research and analysis work is done for other Government agencies, ITS performs a tremendous service to the public, especially to the scientific community, since nearly all of its work is published in technical reports that are available to the public with some exceptions.

JUN 75

OFFICE OF THE DIRECTOR

The Director, ITS, is responsible for all programs, projects and other activities of the Institute. He reports directly to the Director, OT, and on occasions to the Assistant Secretary for Science and Technology and the Secretary of Commerce. In certain cases he deals directly with appropriate officials of sponsoring agencies, either personally or through one of his Associate Directors.

The Director has made broad delegations to the Deputy Director and to the three Associate Directors which gives them the necessary authority for initiatives to maintain full control of the programs, projects, or other activities for which they have the primary responsibility. These delegations of authority include an authorization to take final action on all correspondence and other action documents related to their Divisions with very few exceptions.

The Deputy Director has standing responsibility for maintaining a general oversight of the operations of the Institute. In addition he personally supervises and participates in certain programs or projects which fall within his professional specialization. The working arrangement between the two is such that the Deputy Director can give the Director as much relief from any transaction as the Director deems to be necessary.

The Director is also assisted by a number of consultants who are designated as needed. Usually, the majority of the consultants are not physically located at the Institute or on its payroll.

The records of the Director and the Deputy Director are maintained in the immediate Office of the Director. Each of the consultants maintains his records where he is located since they are engaged on special scientific assignments.

136. Director's Subject Correspondence File - This contains papers generated by the Director in the course of serving as the chief executive of ITS. A random selection of typical subject headings found in the file includes Agency correspondence, Committees, meetings, reviews and briefings, and a sub-group of project papers reflecting actions taken on each project by the Director.

JUN 75

As briefly noted above, delegations of authority by the Director operate to maintain the preponderance of record copies of documentation of programs, projects, and other activities in files kept in three divisions of ITS, each of which is under the direction of an Associate Director who also serves as the division chief. Accordingly, there are no papers in this file that have value for research purposes after the expiration of a period of time covering the need for them for internal management purposes.

The papers are arranged first by calendar year thereunder alphabetically by subject.

Review and move active files forward and place inactive files in a separate file at the end of each calendar year. Dispose of individual documents or contents of file folder in the inactive file when they have served their purpose or when 5 years old, whichever is sooner.

137. Publications and Speeches - This is a record set consisting of one copy of each publication and speeches, with related slides and exhibits, if any, produced or made by the Director, ITS. These documents are not available in any other record set kept by ITS at this time. The material on hand now covers the period 1954 to date.

This item is intended only to insure proper preservation of these documents until an arrangement is made to collect and keep them at a central point.

3 CF PERMANENT
1 CFA ~~Retain.~~ Transfer to the Federal Archives and Records Center (FARC) when no longer needed for current business in consignments mutually agreed upon. Offer for transfer to the National Archives ~~within~~ 10 years thereafter.

138. Chronological File - This contains a copy of each outgoing item generated by the Director. The file is maintained for convenience of reference and as a finding aid to the related Director's Subject Correspondence File.

Dispose when 5 years old.

139. Sea Scatter Program - NOAA Sea Scatter is the name of a program concerned with interpretation of Doppler spectrum signatures, from high-frequency (2 - 30 MHz)

JUN 75

radio waves scattered from the ocean surface, in terms of sea state. The advances in the understanding and interpretation over the last few years has identified a properly instrumented HF over-the-horizon (OTH) radar as a valuable remote-sensing tool to monitor large areas of the ocean surface at long ranges, up to 2,000 nautical miles (Barrick, Hedrick, Bogle, and Crombie, 1974).

Because of the large potential economic benefits to commercial shipping, ocean fisheries, Naval operations, off shore oil and mining operations, marine science, search and rescue, shoreline protection, and recreation; OT, NOAA, and the Naval Research Laboratory have undertaken a joint program to install and operate an experimental research OTH sea scatter radar facility on the north of the San Clemente Island, California.

This radar would monitor the sea state in the Gulf of Alaska, which is important both for predicting North American weather and for providing information to large oil tankers plying the Alaskan run.

As one of the World authorities on sea scatter technology, the Director, ITS, personally conducts research on various problem areas of the program. This file consists of computer printouts and other papers generated by the Director in the course of his researches. All of his findings and conclusions are published. These papers appear to have no value after expiration of a short period of time following discontinuance of the project.

- a. Computer Printouts - Dispose when superseded by a new issue.
- b. All Other Papers - Dispose 6 months after the project has been discontinued.

140. Administrative Subject File - Pursuant to a Cross-Service Agreement between the three agencies, NOAA provides ITS with central personnel management, printing and computer services; NBS gives ITS central accounting and procurement services. The Executive Officers meet at least once a week to workout procedural and operational adjustments that are needed to make the agreement work effectively and smoothly.

JUN 75

This file contains office copies of the usual housekeeping papers since record copies of the papers concerning functions covered by the Cross-Service Agreement are maintained in the appropriate subdivision of the service agency. The file contains papers relating to matters such as agreement, budgets, goals and objectives, production reports, personnel, security, training and education, visitors, property and space, requisitions for supplies and printing, travel and the like.

- a. Name Personnel Case Files - Dispose upon separation by donation to the subject employee, if there is no pending transaction on which ITS is committed to further action.

- (1) Cases on Which There Is a Pending Transaction - Dispose by donation to subject employee upon termination of the transaction.

- (2) Cases Involving Adverse Information - Dispose by treatment as wastepaper upon separation of subject employee.

- b. All Other Papers - Review at the end of each calendar year, move active file forward and dispose of all others.

141. Cross Reference Security Log - The Director's Secretary also serves as Alternate Security Officer, ITS, and maintains files for the use of various units which do not have such equipment, logs and related controls of security classified material generated or received by the units involved. These logs show the classifying agency's control numbers assigned to each document, its classification, date received or sent, the unit or person from whom the document was received, organization or person to whom it was dispatched, and a brief description.

The documents are filed by classification, thereunder by control numbers when a document is disposed of or declassified a note of the action is appropriately entered in the log.

Dispose of internal log sheets when all documents listed on it have been declassified or disposed of.

JUN 75

142. Record of Destruction of Classified Material - This is a numerical listing of material destroyed by control number kept in each safe file. The list also shows number of copies, agency of origin, description, of the document and the signatures of appropriate officials certifying that the documents were destroyed in accordance with current security regulations.

When the Security Officer is notified of the proposed disposal action he returns to the requesting officer the ribbon copy of the receipt for classified material and his inventory control card which is withdrawn from his file when this action is completed. The subject item is dropped from the periodic inventory prepared and issued by the Security Officer.

~~Destroy when 2 years old.~~ (GDS 18/4)
~~Dispatch of individual sheets when all items on it~~ O.K.
~~have been checked and dropped from the inventory.~~ R.C.T./I.P.

143. Classified Material Receipt - These are copies of receipts for all items of classified material received or released to an authorized government official. All of the data on the receipts are duplicated in the inventories.

~~DESTROY WHEN 2 YEARS OLD.~~ (GDS 18/3)
~~Dispose of when subject item has been declassified or destroyed.~~

Deputy Director

144. Subject Correspondence File - This contains papers related to professional publications and to special scientific and other assignments given the Deputy Director.

The documentation of all actions taken by the Deputy Director on ITS matters is included in the Director's Subject Correspondence File.

Review and move active files forward and place inactive files in a separate file at the end of each calendar year. Dispose of individual documents or contents of file folders in the inactive files when they have served their purpose or when 5 years old, whichever is sooner.

JUN 75

145. Chronological File - This contains a copy of each outgoing item generated by the Deputy Director. The file is maintained for convenience of reference and as a useful finding aid to the related papers in his Subject Correspondence File.

Dispose when 5 years old.

146. IRAC Subcommittee and Ad Hoc Working Group Papers - As required the Deputy Director is designated to serve as Chairman of an IRAC Subcommittee or the leader of an IRAC Ad Hoc Working Group. In both capacities he maintains the official records of the bodies involved.

Working papers and backup data generated by the Subcommittee or working group have no value after the expiration of a short period of time after the body has been discontinued. The data in these papers are essentially duplicated in the agenda and minutes of IRAC and of the IRAC Subcommittee involved which are retained long enough to serve all needs.

a. Backup and Working Papers - Dispose 1 year after discontinuance of the subject body.

b. Residual Papers ^{AT BOULDER OFFICE} - Forward to the IRAC Executive Secretariat, Office of Telecommunications, Washington, D.C. 1 year after discontinuance of the subject body. Ultimate disposition of these papers shall be made in accordance with the retention period specified for similar papers of similar bodies headquartered in Washington, D.C.

TO BE
INCLUDED
IN ITEM
IF NOT
NECESSARY SO
FILED.

Consultants to the Director

147. Consultant's Subject File - This contains the papers generated by a consultant to the Director, ITS, in connection with standing and temporary professional assignments given him by the Director, ITS. The work done by the Consultant and the papers which are created as a result of it, have limitless variety. Consultants often serve as chairman or members of international, multinational, national, or even local committees or organizations con-

JUN 75

cerned with telecommunications depending on the nature of the work that these organizations are doing. In addition, they are called upon to investigate and seek a solution to scientific telecommunications problems that are specially complex.

In this file the documents are arranged under the following primary subject headings: CA-Committee Administrative, M-Meetings, PB-Publications, PS-Personnel, TV-Travel, and V-Visitors, among others. This is the record copies of these papers and they are not available elsewhere.

4 c F ~~PERMANENT~~ Retain Transfer to FARC when no longer needed for purposes of current business and offer to the National Archives ~~within~~ 10 years thereafter.

Executive Officer

The Executive Officer reports to the Director, ITS, and is responsible for the direction of the general administrative activities of the Institute including the following major functional areas:

- o Budget Operations - Organizes and coordinates the formulation and execution of the ITS budget. Provides guidance on budgetary analysis and financial management reports. Provides program level plans in Commerce-funded and ITS overhead budgets, aggregated other agency operations, special budgets, rates and volumes of cross-serviced activities and financial commitments to OT and DoC.
- o Fiscal Operations - Provides accounting support for ITS. Integrates financial systems to include all transactions, project establishment and closeout controls. Provides various financial reports and advance warning of project overruns.
- o Administrative Operations and Field Sites - Provides general administrative services such as property control, space negotiation and assignments, safety, security, cross-servicing representation, and provides guidance covering engineering matters at field sites.

JUN 75

- o Publications and Technical Information - Provides services of editorial assistance, printing and distribution of technical output of the Office of Telecommunications as well as preparation of the internal house organ and external bulletin(s) and program briefing materials of the Institute.
- o Personnel Operations - Utilizing the cross-servicing Boulder Personnel Division (NOAA) with an Area Personnel Officer assigned, organizes the full range of personnel services (to staff) and manpower utilization (to management) for the Institute. Serves in the same capacity with respect to accounting, computer, procurement, and other services provided to ITS by other agencies under cross-service agreements.
- o Supervision Exercised - Incumbent directs the Institute administrative staff, and contributes indirectly to guidance of administrative staff in the several Division Offices for consistency of action among all. The Executive Officer exercises essentially final management authority for the former group.

148. Property Management Documentation - This is the correspondence with related action documents supporting the information appearing on the property inventory cards and on subsequent printouts made from the cards. Much of the documentation has been generated by the Administrative Aide who serves as the Property Records Clerk, ITS in support of the Executive Officer, to fill the void in property management data which occurred when ITS was taken out of ESSA. Currently, there is a considerable amount of outstanding property that remains to be accounted for, a task that is underway for completion by November 30, 1974.

All of the useful data found in this documentation is eventually transferred to the machine readable punch cards comprising the property inventory. These cards are considered the basic ITS property management inventory because they contain all necessary or available data on each item of property on an up-to-date basis.

From these cards, computer printouts containing property management data are generated as required, including the following: Statement of Property Inventory as of (date),

JUN 75

one issue by property number, another alphabetically by the name of the equipment, and others may be produced as needed on a quick query basis.

The papers are arranged alphabetically by transaction titles.

Dispose of individual documents or contents of file folders 5 years after closure of the transactions.

149. Property Inventory Punch Cards - These are punch cards for each piece of equipment on which is recorded all relevant property management data pertaining to each piece of property which is or believed to be in the custody of ITS. These cards constitute the basic property inventory, and is a self liquidating file.

Dispose of individual cards when replaced, the subject item of property is disposed of by removal of ITS accountability in accordance with Federal Property Management Regulations.

150. ITS Master Property Book - This contains copies of the portions of the Statement of Property Inventory, broken out for each division, or similar major organizational units.

These are the accountability groupings for each Accountable Payments Officer, used by the ITS Property Management Officer and the Division Property Officers as a worktool. They have no value after the need for them for internal purposes has been satisfied.

Dispose of individual documents when they have served their purpose.

151. Statements of Property Inventory as of (Date) - These show description of property, serial/property number, acquisition number, month and year, depreciation expiration date, general ledger code, average life, property number, depreciation rate and the current value. One printout is arranged numerically by the property number, the other is arranged alphabetically by the name of the equipment or property.

a. Annual June 30th Summary Issue - Dispose when 10 years old.

- b. All Other Issues - Dispose when superseded by a new issue.

152. Job Applications - This consists of job applications, personal resumes, correspondence, and other related papers concerning people seeking employment with the ITS.

- a. Successful Candidates Papers - Transmit to NOAA, Personnel Office.

- b. All Others - Dispose when 2 years old.

153. Inter-Agency Correspondence - This is incoming and outgoing correspondence pertaining to administrative and any other matters of interest to the Executive Officer, exchanged between him and officials of Commerce Department and other agencies.

Dispose when 3 years old.

154. Committees and Boards - These are the papers either generated or collected by the Executive Officer as a member of the subject committee or board, or as an official having a primary interest in the transactions of the subject body.

This file serves as the central source of information for the Office of the Director and others, for data concerning these organizations.

PERMANENT

2 CF ~~Retain.~~ Transfer to the FARC when no longer needed
125 CFA for current business and offer for transfer to
National Archives ~~within~~ 10 years thereafter.

155. Manpower Utilization Committee (MUC) - The Executive Officer is currently serving as the Executive Secretary of MUC. These are the papers he has generated or collected in that capacity concerning the responsibilities, and transactions of the MUC.

PERMANENT

1 CF ~~Retain.~~ Incumbent transfer the file to his successor
3" annual or the the Chairman of the Committee. Holder shall
transfer residual files in his possession to FARC
when no longer needed for current business. FARC shall
offer the files to the National Archives ~~within~~ 10 years
thereafter.

JUN 75

156. Records Management Files - These consist primarily of Records Transmittals and Receipts (SF-135 and 135A) with related documentation concerning the requirements and operations of the FARC.

Records Transmittals and Receipts and Request for Disposal Authority - ~~Retain. Transfer to FARC when no longer needed for current business and offer for transfer to the National Archives within 1 year thereafter. DESTROY WHEN NO LONGER NEEDED FOR FARC. 30 YEARS OLD.~~

157. Personnel Name Case Files - These are case folders for each active employee in the Office of the Director and for each of the three Associate Directors.

The cases contain office copies of personnel actions concerning the subject persons employment. These papers are duplicated in the Official Personnel Folder maintained by NOAA.

- a. Name Personnel Case Files - Dispose upon separation by donation to the subject employee, if there is no pending transaction which ITS is committed to.
 - (1) Cases Involving Adverse Information - Dispose by treatment as wastepaper upon separation of subject employee.
- b. All Other Papers - Review at the end of each calendar year, move active files forward and dispose of all others.

158. Personnel Administration File - This contains the papers generated or collected by the Executive Officer in his capacity as the ITS official having primary overall responsibility for liaison with NOAA Personnel Office. More specifically, the file contains documentation concerning the general implementation of the personnel management program that is not suitable for filing in one of the related personnel case files. Notable subject headings found in the file include Awards, Ceilings, Commendations, Directives, Financial Interests, Freeze, Hazard Pay, Legal Matters, Merit Promotion Plan, Organization and Management, ITS Personnel Printouts, Nepotism, Outstanding Ratings, Position Descriptions, Publications, RIF, Retirements, Training, Travel, and Work Schedules.

JUN 75

These papers appear to have no value after the ITS need for them has been satisfied.

Dispose of individual documents or the contents of file folders when they have served their purpose or when 5 years old, whichever is sooner.

159. Briefings, Conferences and Meetings File - These are the papers created by the Executive Officer either as a participant in the subject body or because of a primary interest in its considerations and transactions.

These papers are used as a source of primary source data.

1/CF a. Membership Papers - ^{PERMANENT}~~Retain.~~ The incumbent shall pass these on to his successor member of the subject body or to its chairman. The final holder of the papers will transfer them to the FARC when no longer needed for current business, and offer them for transfer to the National Archives ~~within~~ 10 years thereafter.

b. Papers of Primary Interest - Dispose of individual documents or contents of file folders when they have served their purpose.

160. Office Services File - This contains papers normally associated with an administrative element supervising or providing office services such as ADP Equipment and Services, Computer Usage, Cafeteria Services, Drafting, Equipment, FAX, Library, Office Machines Repair, Plant Services, Procurement, Property, Records Management, Telephone Installation, and Visitors among others.

Review the file at least once a year, move active files forward and dispose of all ephemeral or inactive individual documents or contents of file folders when they have served their purpose, or when 3 years old, whichever is sooner.

161. Reports File - This contains copies of production reports, and program reports, which the Executive Officer produces for transmission to higher authority, or that he receives and compiles a broader report for submission to higher authority, or that are submitted to him as the final user authority.

JUN 75

Most of these reports are either printed or essentially duplicated in other reports or duplicated in subsequent issues of statutes concerning the programs and operations included in the area under the Executive Officer's jurisdiction.

Dispose when 3 years old.

162. Budget Files - These are the action papers submitted to the Executive Officer for decision making purposes by the Budget and Finance Officer and others in the course of the preparation of the budget or upon its submission to some higher authority.

These papers neither substantially duplicate records held by the Budget and Finance Officer nor do they substantially duplicate papers elsewhere. However, the budget cycle in ITS is 5 years at which point all of the substantive data in these records have been printed either in internal directives or in the President's Budget or in one of the other printed submissions. It would therefore appear that these papers have no value after the close of the budget cycle involved.

Move active files forward and dispose of all other papers 1 year after the close of the quintennial and decennial fiscal years.

163. Driver's License Control - The Administrative Aide also serves as the Driver's License Issuing Officer for ITS. She maintains records that include applications for licenses, and a register of licenses issued.

The Driver Licenses expire on a set date or are revoked because of the separation of the subject employee or for some other reason.

Move active files forward and dispose of all others when 3 years old.

164. Chronological File - This consists of one copy of each outgoing item produced by the Executive Officer and by his principal assistants arranged chronologically, and maintained for convenience of reference.

Dispose when 3 years old.

JUN 75

165. Mailing Lists - These are lists of individuals and organizations interested in periodically receiving information about or produced by various conferences, or symposiums.

Dispose of individual lists when superseded or no longer used for some other reason.

JUN 75

Technical Assistant for Administration
and Fiscal Officer, ITS

Although accounting services are provided for ITS by NBS, the Technical Assistant for Administration and Fiscal Officer is responsible for the maintenance of a system that will provide the Director and other ITS officials up-to-date information on the ITS accounts, needed for decision making purposes. All obligating documents produced by ITS are processed in this office before submission to NBS.

166. Obligations by Cost Center - These amount to file folders for each cost center for each fiscal year. They contain copies of purchase requisitions, purchase orders, printing requests, Government bills of lading and other documents.

Review the file at least annually and move active files forward, file all closed folders in a separate inactive file, arranged first by fiscal year thereunder by cost center identification. Transfer to FARC the inactive files when they have been closed 3 years. Dispose when 10 years old.

167. Project Case Folder - A case folder is opened for each project when it is approved. It contains a copy of the project proposal, the order from the sponsoring agency, the ITS letter of acceptance, project work plan, correspondence and other papers related to the fiscal affairs of the project. These are filed by fiscal year with active folders moved forward at the end of the fiscal year. *This is basic project file; The 10 year disposal records are kept here.*

These papers should be maintained to complete the data base needed by the scientific and professional communities for future research. They are arranged numerically by project number.

PERMANENT

12 CF ~~Retain~~. Move active files forward and file closed cases in a separate inactive file. Transfer inactive files to FARC in annual consignments 3 years after closure. Offer to the National Archives ~~within~~ 10 years thereafter.

JUN 75

168. Logs of Purchase Requisitions, Travel Orders and Work Orders - This is a log of items for all cost centers listing estimated and actual cost of the item, dates, and the cost center to which it is charged.

These logs are manually posted on a daily basis in the order of receipt of the subject documents.

These logs will serve ITS with a fine screen index on Records Transmittal and Receipt Form, SF-135 and to the Obligations by Cost Center Files as described above.

~~Retain~~ Transfer inactive logs to FARC 3 years after transfer of the related closed Obligations by Cost Center in mutually agreed upon annual consignments. Dispose when 10 years old.

169. Project Proposals - These are proposals to other Federal agencies to develop support for an agency sponsored project.

Funded proposals are filed in the appropriate Project Case Folders. Unfunded proposals have a short term value.

Dispose after statistical summarizations or when 3 years old, whichever is sooner.

170. Fiscal Subject Correspondence File - This contains incoming and outgoing correspondence concerning the financial status of any accounts that are not suitable for case filing or needed on file in both places. The papers are arranged alphabetically by subject and they do not appear to have a long term value for any other than internal purposes.

Dispose of individual documents when they have served their purpose, or when 3 years old, whichever is sooner.

171. Chronological File - This consists of a copy of each outgoing item produced by the Technical Assistant for Administration and Fiscal Officer, ITS and is maintained for convenience of reference.

Dispose when 1 year old.

JUN 75

172. Employee Record Card (SF-78) - This is a card record which shows the name and address of each employee, the nature of each personnel action, its effective date, the position title, and number, annual salary rate and the name of the employer organization. These cards are duplicated by record copies maintained by the Personnel Office, NOAA.

Remove cards from the active to an inactive file upon separation of the subject employee. Hold inactive file until it has served the purpose of ITS and dispose.

173. Job Descriptions - These are copies of the most current job descriptions of each employee of ITS.

Dispose when superseded or when the subject employee separates from ITS.

174. Technical Reference Files - This contains copies of ITS, OT, NBS, NOAA, DOC and other agency directives which the Technical Assistant for Administration uses as a work-tool in completing his daily tasks or assignments.

Dispose when superseded or when they have served their purpose, whichever is sooner.

(Printouts)

175. Bi-Weekly Project Cost Reports - These are printouts of cost statements at the project, group, division, Institute, and program area and the Boulder Policy Support Division. They show the reporting period, funds on hand, expenditures, obligations, paid and unpaid orders, and the balance of funds.

- a. June 30th Summaries - Dispose when 5 years old.
- b. Supporting Detail Reports - Dispose when 3 years old.

176. Support Service Charges - These reports give the detail for cross-service charges to ITS including photo laboratory, computer services, storeroom, drafting, and other charges in the support area.

JUN 75

These papers give the detail on each specific charge against a cost center that is rendered by an organizational element outside of ITS. This information supports each charge involved that appears in the Project Cost Report.

Dispose immediately after the close of the fiscal year.

177. Detail Listing of Support Charges to Cost Centers - These are intermediate printouts listing the charges to each cost center. They are merely used to verify charges made under cross-service agreements.

Dispose when the final bill for the fiscal year has been received and checked.

178. Monthly Billing Run - This is an intermediate printout giving detail supporting the charges billed to sponsoring agencies. These lists are summarized at the end of the fiscal year in a cumulative issue.

- a. June 30th Cumulative Issues - Dispose when 10 years old.
- b. Monthly Issues - Dispose after the June 30th cumulative issue has been received and checked.

179. NBS General Ledger Account - These are the General Ledger of ITS accounts prepared by NBS and include labor, other objects, and unliquidated obligations, journals and reports combining all journal accounts in 1-line summary and cost center statements.

- a. Cumulative Cost Center Statements - Transfer to FARC in the triennium. Dispose when 10 years old.
- b. Supporting Issues - Dispose when 3 years old.

JUN 75

Budget and Finance Officer

The Budget and Finance Officer is a major official on the staff of the Executive Officer. He is responsible for coordination and preparation of the budget submissions of ITS for appropriated funds. He monitors and analyzes the operating budget on appropriated funds as well as other agency funds and prepares the necessary financial reports pertaining to the budget of such funds.

A very large percentage of the funds available to ITS is derived from contracts or from other Federal agencies sponsored a program at ITS on a reimbursable basis to the NBS Working Capital Fund. These funds are treated in an internal OT budget submission.

A major concern of the Budget and Finance Officer is analysis and calculation of the overhead costs of ITS and even-handed distribution of these costs among the approved programs conducted by the Institute. The objective of this discipline is to balance out at the end of the fiscal year with zero surplus or deficit.

In addition the Budget and Finance Officer has a standing responsibility for participating in the milestone management system, financial management of the cross-service agreements and is given other special financial management assignments as may be required.

His papers are arranged by fiscal year thereunder by subgroups in a functional arrangement.

180. Financial Management Files - This file contains copies of all action papers and related supporting documentation generated by the Budget and Finance Officer. These papers are more specifically identified in subgroups as follows:

(1) Direct Funding Appropriations Budget - This contains Program Memorandums, as revised, and supporting papers, including the final version submitted by ITS to the Office of Budget and Programs Analysis (OBPA), Office of the Secretary. After approval of the submission is included in the Secretary's Budget Submission which in turn is submitted to the Office of

JUN 75

Management and Budget, Executive Office of the President. After OMB approval, the Secretary's Budget Submission is included in the President's Budget for submission to the Congress.

Although they are purposely not mentioned every work step involved in the process of collecting data, and the analysis of them which occurs in the course of preparing the final action documents is adequately documented here.

(2) Operating Budget - Following the allotments of appropriated funds by OMB the Budget and Finance Officer prepares, for submission to OMB, an appropriate plan showing the allocation of such funds. Among various elements of ITS after this plan is approved it becomes the ITS operating budget which is monitored for compliance by the Budget and Finance Officer.

Each step or action taken in this process is adequately documented in this subgroup.

Although they are not budgeted for in any submission going outside of OT, funds derived from other Federal Agencies are handled in the operating budget in very much the same manner as appropriated funds. As a part of the final negotiations with an agency requesting the Institute to undertake certain work, the agency is given a work statement which shows the tasks to be done and the projected total cost of the undertaking. After a letter of acceptance is sent out informing the sponsoring agency that ITS will accept the work based on actual cost, the work statement becomes a part of the operating budget. Thereafter, the Budget and Finance Officer and the Program Officials make every effort possible to detect any adjustments that need to be made on the work statement and to notify the sponsoring agency of such changes as soon as possible, so that no project will be closed showing any profit or loss.

(3) Milestone Management Evaluation and Control Papers - In April 1972 the Director announced the initiation of the ITS Milestone Management Systems. The System is to provide a continuous, objective mea-

JUN 75

sure of project achievement and progress to the Director, Associate Director's, and project leaders.

The system was envisioned as a tool to assist the project leader in anticipating problems requirements, and commitments and to access project progress by comparison with the project plans. It also serves as a guide for programming work and facilities.

The Budget and Finance Officer receives a copy of all project milestone plans. He makes a monthly review of such plans for all ongoing projects, and evaluates the data in them to determine the financial status of each with emphasis on the overhead budget including such items as program development, publication costs, depreciation, cost of leave, among others.

His findings and conclusions are essentially duplicated by reports and similar papers submitted to higher authority.

(4) Cross-Service Agreements Papers - The Budget and Finance Officer participates in meetings of the representatives of the agencies involved in Cross-Services Agreements to determine the actions necessary to insure adequate financial management of funds and other resources that must be supplied for the Agreements to function in a satisfactory manner.

These papers provide the data base for future requirements of the agreements in the financial area.

With very few exceptions, these papers appear to have no value for future research purposes. Based on a 3-year budget cycle most of the papers can be destroyed on a selected basis by the Budget and Finance Officer upon the expiration of that period of time. However, the residual documentation plus the currently active papers in the file must be maintained in close physical proximity to him because of his responsibilities and activities.

Hold active and inactive files in the office of the Budget and Finance Officer, or its equivalent.
Review all files at least once a year and move for-

JUN 75

ward individual documents or contents of file folders for which there is a need. Dispose of all other documents or contents of file folders when they have served their purpose.

181. Technical Reference Material - These include printed copies of the President's Budget and other budget submissions, copies of directives and informational issuances distributed by the Department of Commerce, Office of Management and Budget, General Accounting Office, and other agencies.

These papers are only used as a worktool and have no value once the Budget and Finance Officer's need for them has been served.

Dispose of individual documents when superseded, rescinded, or when they have served their purpose, whichever is sooner.

JUN 75

Public and Technical Information
Officer (OT Boulder)

The Public and Technical Information Officer (PTIO) is a member of the staff of the Director, OT and reports directly to him and the Director, ITS, as appropriate. To facilitate his daily activities, the PTIO is a member of the staff of the Executive Officer, ITS. He is responsible for:

- o Serving as project leader on the Editorial Review Board and as Senior Editor for the ITS,
- o Processing, printing and distribution of all ITS publications,
- o Maintaining control and a record set of each publication issued,
- o Keeping the public fully informed of the significance of ITS work and accomplishments through the printed media, TV and radio in terms regarding scientific matters that are understandable to most laymen,
- o Writing and publishing the monthly TELENOTES, a newsletter for employees of the Office of Telecommunications, and
- o Reporting monthly issues and other publication management data.

The PTIO is a prime source where the public and the outside scientific community can get current as well as historical information concerning ITS and its programs.

182. Record Set of Publications - This consists of one copy of each publication issued by ITS including Technical Memorandums and Technical Reports, TELENOTES, and other items.

Technical Memorandums are interim or preliminary reports on various stages of a program or project while it is still in progress.

JUN 75

Technical Reports are generally the end product of a program or project, which documents in detail the scientific steps taken during a program or project and the conclusions that they support.

TELENOTES is a newsletter published for OT employees.

14 CF **PERMANENT**
3 cfa ~~Retain.~~ Transfer to FARC when no longer needed for current business and offer to the National Archives ~~within 10 years~~ thereafter.

183. Press Releases and Supporting Papers - News items released to the mass media by ITS are not cleared with any headquarters office in Washington and a complete set of such items is not found among the records of any such office.

This file contains folders for a printed copy of each release with supporting work papers. Supporting papers include drafts with comments, local clearance sheets, and clippings of the story as it appeared in the news media.

14 CF **PERMANENT**
3" annual ~~Retain.~~ a. Printed Copy - ~~Retain~~ (one copy each) as a record set and transfer to FARC when no longer needed for current business. ~~offer to NARS 10 years~~ ~~hereafter~~.

b. Supporting Papers - Dispose when 3 years old.

184. Authors Index Set of Reprints - This consists of one copy of each professional publication produced by staff members and copies of relevant publications produced by selected outside authors.

This is a record set used as a data bank containing primary data needed for future scientific research.

This file is deemed to have long term value and must be maintained in close proximity to the professional users on the ITS staff.

12 CF **PERMANENT**
3 cfa ~~Retain.~~ Transfer to FARC when no longer needed for purposes of current business and offer for transfer to the National Archives ~~within 10 years~~ thereafter.

JUN 75

2190.

185. Printer's Media (Negatives, Photos) ~~File~~ - These negatives, photos, and other printers' media have no value after the need for them for reprinting has been satisfied.

Dispose 5 years after publication date or when they have served their purpose, whichever is sooner.

186. Photo File of Field Sites and of Certain Equipment - (1) File folders
These are photographic prints showing various views of field sites and of certain notable items of equipment. *photos that appear in open publications.*
These are produced and collected for purposes of publication, and appear to have only a short term value.

Dispose of individual documents when the installation or use of the equipment has been discontinued.

187. Biographical Sketches and Staff Photo File - This consists of a biographical sketch with appropriate photographs of key or notable members of the Department of Commerce, OT and ITS staffs. Greater emphasis is placed on the ITS staff. *These appear in D.T. direction file and are published in TELENOTES BULLETIN WHICH IS PERMANENT.*

Dispose of individual documents when superseded or have otherwise served their purpose.

188. Editorial Review Board (ERB) Papers - This Board reviews and acts on all publications issued by ITS. It is made up of senior scientists with the final authority to approve or disapprove of publication of the items produced.

All research projects undertaken by ITS are conducted under the personal supervision of a project leader. When the project leader produces or receives a report that meets his requirements, he forwards it to the technical reader who reviews the document and prepares a four page form which gives his impression of the subject report. The form and the subject report is returned to the project leader who sends them to a sponsoring member of ERB. The sponsoring member reviews the papers and recommends final action on them to the full Board. The full Board acts as umpire of any differences on the matter and takes the necessary final action.

This file is a cumulative record of the Board's transactions including readers comments, transmissions to GPO and OT, and other papers relating to distribution, costs, and

JUN 75

the like. The papers are arranged alphabetically by names of the authors.

- a. Move active files forward, at least once a year and place all others in a separate inactive file after separation of the author from OT.
- b. Active and Inactive Files - Review files annually and dispose of all editorial or similar supporting papers when 5 years old.
- c. Printed Copies of Articles and Other Issuances of the Authors - Dispose when they have served their purpose.

189. Editorial Review Board Agenda, Summary Minutes and Transactions - This consists of agenda, minutes, and issuances of the Board.

All of the information on the agenda appear in the related copies of the minutes, including statistical information on the current status of all publications.

These papers appear to have only a short term value since they are generated and maintained to establish the highest possible professional and managerial standards.

- a. Agenda - Dispose when 1 year old.
- b. Minutes - Dispose when 5 years old.

190. Editorial Review Board Card Index - This is a card index which shows the various steps involved in the ERB process. It also shows for each item treated a readers list, date released by the Associate Director, author's name, title of publication, and the ERB control number.

Dispose of individual cards when superseded or when they have served their purpose, whichever is sooner.

191. Subject Correspondence File - This consists of incoming and outgoing correspondence generated by the Publications and Technical Information Officer. The papers are arranged alphabetically by subject headings of which some of the most notable found in the file are as follows:

JUN 75

- o General OT reports series,
- o PTIO contacts with outside medias,
- o Public information requests,
- o Copies of invoices, GPO final billings,
- o Administrative orders,
- o Proposed brochures,
- o Freedom of Information Act,
- o Personnel Actions,
- o Training,
- o Staff meetings,
- o Reorganization of OT,
- o Briefing material, and
- o Mailing lists.

These papers serve the same purpose for the PTIO as a normal administrative subject file would for another official that would be expected to keep one.

Review the file annually and move active files forward. Dispose of all other individual documents or contents of file folders when they have served their purpose, or when 3 years old, whichever is sooner.

192. Chronological File - This consists of a copy of each outgoing item produced by the PTIO and is maintained for convenience of reference.

Dispose when 1 year old.

193. Technical Reference File - These are work copies of authoritative documents containing telecommunications policies, printing and technical procedures, and other information needed by the PTIO in the course of performing his daily tasks.

JUN 75

This documentation is of no value after the need of the PTIO for it has been satisfied.

Dispose when superseded, revoked, or when they have served their purpose, whichever is sooner.

JUN 75

DIVISION 1 - SPECTRUM UTILIZATION

The Spectrum Utilization Division both develops and applies engineering techniques and instrumentation needed for improved efficiency in the use of the electromagnetic spectrum. Work is performed in support of the frequency management activities of the Office of Telecommunications Policy and for other Federal agencies. The work ranges from engineering design studies which quantitatively incorporate operational and technical factors, to research needed for improved understanding of both theory and applications in antennas and propagation factors.

The work of the Division is concerned with the design aspects of radiating telecommunications systems and equipment and with those non-design aspects that affect electromagnetic compatibility. At present the work is spread among five groups:

- o Radio Spectrum Occupancy - is primarily concerned with an improved understanding of the electromagnetic signals which constitute the working environment of radiating telecommunication systems. Instrumentation is developed and applied in the measurement of both noise and intentional signal environments. Advanced analytical methods are under development to assess the influence of these results on telecommunication system performance. At this writing the Group is conducting the following projects:
 - Emission Spectrum Simulation, and
 - Measurement Van Development and Operation
- o Antenna Performance - work primarily on the design, prototype fabrication, and measurement of antennas operating in real (as opposed to free-space) circumstances. This group also develops special instrumentation for the measurement of systems performance as influenced by antennas. At this writing the Group is conducting the following projects:

JUN 75

- Buried Antenna Studies,
 - EPA Antenna Studies, and
 - Antenna Polarization
- o EMC Analysis and Development - performs broad scale analyses of telecommunications systems to optimize system cost, deployment, and coverage. In support of these and other studies, comprehensive measurements of telecommunications system characteristics are made and empirical models are derived. Much of the work of this group results in the development of computer models. At this writing the Group is conducting the following projects:
- U.S. Coast Guard Consulting,
 - National Data Buoy - Shore Station,
 - Compatibility of Collision Avoidance,
 - VHF Digital Data Link,
 - Probability of Interference,
 - Analysis Services,
 - Flight Tests of CATV Radiation,
 - Interference to Geo-Stationary Orbit,
 - Digital Interference Evaluation,
 - Resource Assessment Support,
 - Probabilistic EMC Model, and
 - Engineering Techniques Development
- o VHF/UHF Models and Mobile Systems - develops and applies improved computer-based models for prediction of transmission loss variability and system performance for systems operating at frequencies above 30 MHz. Resulting models are widely used throughout government and industry in the design

JUN 75

of telecommunication systems. At this writing the Group is conducting the following projects:

- Air Navigation Aids,
 - Tropospheric Predictions,
 - Mobile Aids,
 - Sensor Communication Aids,
 - Offshore Extended Area,
 - NWS Coverage, and
 - Urban/Irregular Terrain
- o The Telecommunications Services Center - makes forecasts of atmospheric influences on long range communications, issued on daily and weekly schedules and distributed by mail, telephone, teletype, and broadcast over WWV to users around the world. In addition, the Center also provides special services to a variety of users, primarily through the application of computer models developed in the Institute for Telecommunications Sciences. At this writing the Center is conducting two projects:
- VOA Time-Share Service, and
 - Ionospheric Warning Service

Office of the Associate Director

194. General Correspondence Subject File - This contains copies of correspondence generated by the Associate Director in the course of giving the Division executive leadership. The papers pertain to all of the projects and activities of the Division. Most of these papers are not suitable for filing in a project case file, however, some of them are filed both places to serve the Associate Director's need. Among the notable primary subject headings found in the file are the following: administration, marketing, capabilities, computers, planning, new

JUN 75

technology, decision making, and radio spectrum measurement system (VAN).

Only a small percentage of these papers appear to have a very long term value after the needs of the Associate Director for them have been satisfied. For convenience, the Associate Director keeps technical and currently active matters in his personal office and his secretary keeps routine and archival portions of the file in her office. Ultimately, the file folders from pending work files kept in the Associate Director's personal office are moved to those maintained by his secretary when he has finished with them. The small percentage of residual documents that are an exception have a much longer term value than that of the other papers. These are the papers that have finally reached the point where they are of no more use to ITS but that are deemed to be worthy of retention for an additional period for purposes of satisfying scientific and other research purposes.

- a. Residual Documents - Transfer to FARC in mutually agreeable consignments and dispose of when 25 years old.
- b. All Other Documents - Periodically review the files at least once a year, move active folders forward and dispose of individual documents or the contents of file folders when they have served their purpose.

195. Administrative Subject File - This contains office copies of the usual housekeeping papers pertaining to such matters as accounting, budget, conferences, forms, personnel name case files, requisitions for services and things, staff spread sheets, production report, travel, visitors, and the like.

- a. Personnel Name Case Files - Dispose upon separation of the employee.
- b. All Other Papers - Dispose when 2 years old or when they have served their purpose whichever is sooner.

196. Project Case Files - These papers are generally kept in folders under the project number and are readily iden-

tified as case files. However, the physical arrangement from group to group varies to meet the needs of the responsible parties concerned. This file contains record copies of all projects conducted by the various subdivisions of the Division. The basic papers found in each file include: proposals, ITS and sponsoring agencies letters of agreement, contracts, if any, or work plans, (milestone plans), financial documents including project cost reports, manpower costs, correspondence relating to ITS and sponsoring agency and others, any other papers needed to document the origin and conduct of the project.

These papers appear to have no further value to the Government or to the public after the expiration of a reasonable period of time following the closure or termination of the project.

Dispose 3 years after the date of closure or termination of the project.

197. Pending Proposals - These are proposals prepared by the Division or some other element of ITS that have or have not resulted in a project.

- a. Successful Proposals - Move to the approved Project Case File.
- b. Unsuccessful Proposals - Dispose when no further action on them is anticipated.

198. Chronological File - This contains one copy of all outgoing items produced by the Associate Director cross referenced as to the location of the incoming material and maintained for convenience of reference and as a finding aid.

Dispose when 3 years old.

199. Committees, National and International Organizations Participation - These are the papers generated or collected by the Associate Director as Chairman, member or party interested in one or more of the subject bodies above. Although, he usually participates as the official representative of the U.S. Government. The responsibility for record copies of the committee or organization papers rests in the sponsoring agency involved.

JUN 75

Dispose 6 months after publication or by transmission to the Chairman or to another member, or by outright destruction, as appropriate.

Consultant to the Associate Director

All the consultant's output is published and all of the papers of substance supporting these publications are filed among those of the primary office for which he undertook the assignment.

Assistant to the Associate Director
for Administration

200. Administrative Subject File - These are office copies of housekeeping papers generated by the Administrative Officer who provides the Division with administrative management and the usual array of office services. The papers deal with such matters as accomplishments, advisory panel, annual report, budget, cost reports, computer charges, depreciation fund, equipment, editing, floor plans, forecast kit, keys, packing and shipping, objectives, organization, personnel actions, property, publications, requisitions, purchase orders, shipping and receiving, security, space, telephones, travel and the like.

- a. Personnel Actions - Dispose 3 years after separation of subject employee.
- b. All Other Papers - Dispose of individual documents or the contents of file folders when 5 years old or when they have served their purpose, whichever is sooner.

201. Motor Vehicle Inventory and Use Record - These are (5 X 8) cards showing the vehicle identification, acquisition date, and the annual cost summary, accessories, equipment, accidents and damage and the current assignment for each vehicle under the jurisdiction of the Division.

Dispose of individual cards when the subject vehicle is released or otherwise removed from the jurisdiction of the Administrative Officer.

202. Motor Vehicle Management File - This contains papers relating to the acquisition, assignment, performance, tort claims, motor pool service, ITS drivers licenses, purchase orders, vehicle accident review board, monthly and annual reports and related correspondence.

Dispose when 5 years old or when the vehicle is removed from the jurisdiction of the Administrative Officer, whichever is sooner.

203. Field Site Papers - This is real property documentation including papers such as deeds, easements, leases, interferences, photographs of sites, and related papers concerning the management and control of each site.

- a. Transferred Site Papers - Transmit deed and related papers of entitlement to the acquiring Government agency.
- b. Surplus Site Papers - Dispose 10 years after the subject property was declared surplus.

204. Program Management Analyses - These are tables and charts prepared by the Administrative Officer to show the key technical characteristics, planned, expenditure rate, periodic projected and actual accomplishments with related financial data, task statements, project proposal, funds available by origins, current status statements and similar papers for each project relating to its financial management.

Dispose 2 years after the project is terminated.

205. Program Log - This is a log showing the description title, project task, action person, date due, status, delivery date and method, and remarks for computer programs identifying the machine, etc., of all documents transmitted to Washington by Telefax.

Dispose when 1 year old.

(Printouts)

206. Manpower Report - This is a computer printout showing the social security number, name, and salary of all employees of the Division broken down by group, and project.

Dispose when they have served their purpose.

207. Project Cost Reports - These are printouts of cost statements at the division, group and project levels. They show the reporting period, funds on hand, expenditures, obligations, paid and unpaid orders, and the balance of funds.

a. June 30th Summaries - Dispose when 5 years old.

b. Supporting Detail Reports - Dispose when 3 years old.

JUN 75

Telecommunications Service Center

Ionospheric Forecaster

208. Geomagnetic Data Files - These comprise a three hour internal index geomagnetic activity with a daily index. These are hand posted form logs containing data received from several observations. The posted sheets are accumulated in three-ring binders and appear to have a short term since the data are fully exploited and published within the period.

Dispose when 5 years old.

209. Radio Propagation Conditions - These consist of form sheets on which data is manually posted from three communication centers on selected radio circuits on the reception on the monitored circuits.

These are cumulated at a very modest rate in three-ring binders. From the data the Ionospheric Forecaster prepares a quality index which is published.

Dispose when 5 years old.

210. Weekly Radio Telecommunications Forecast Releases - The quality index is published along with other similar data in a larger NOAA publication for which that agency is responsible for retaining a record copy. The quality index is also published weekly as an ITS release. Record copies of these releases are maintained by the PTIO, ITS.

Included are the predecessor forecast which are entitled Advance Forecasts High Frequency Radio Propagation Conditions. These are unpublished.

a. Current Forecasts - Dispose when they have served their purpose.

.5 CF *Data back to 1920s. This is unpublished* **PERMANENT**
b. Predecessor Forecasts - ~~Retain~~. Transfer to FARC when no longer needed for current business and offer to National Archives 10 years later.

JUN 75

211. Solar Radio Flux Index Sheets - Data received from an observatory is manually posted on these sheets three times daily showing the level of solar activity. These data are analyzed and reflected in a monthly index.

Dispose when 5 years old.

212. Worksheet Recurrence Trends - These are worksheet tables prepared by the Ionospheric Forecaster which show his analysis of the combined values and measurement of phenomenon shown in several other quality indexes. These worksheets accumulate at a very small rate of volume.

Dispose when 25 years old.

213. Strip Charts and Similar Media - These are photographic and other types of media that are automatically produced by equipment showing the measurement or quality of physical phenomena data. These materials include specifically paper tapes, paper discs, reels of photographs, magnetic tapes and a variety of other physical forms. These data cannot be recreated. However, the great mass of such data is scaled, analyzed, and published in official publications.

Dispose 6 months after publication and after full exploitation.

214. Incoming and Outgoing Teletypes - These are messages received from various points of observation containing solar and geological data. This data is analyzed and posted to various indexes and other control papers.

a. Incoming Teletypes - Dispose when 30 days old.

b. Outgoing Teletypes - Dispose when 2 years old.

215. Daily Ionospheric Data Record - These are sheets on which various ionospheric data are posted received from about 20 points of observation. The data are analyzed and summarized in the Weekly Radio Telecommunications Forecast.

Dispose when 1 year old.

216. General Subject Correspondence File - This contains copies of incoming and outgoing correspondence generated

JUN 75

by the Ionospheric Forecaster and copies of informational and authoritative documents relevant to the discipline. Notable subject headings found in the file include: administration ITS, user requests, computer forecasts, project proposals, Apollo Twelve and Thirteen, personnel actions, meetings, reports and the like.

Dispose when 5 years old or when they have served their purpose.

217. Flare File - This contains documentation concerning the occurrence of some flares and their effects on radio wave propagation and transmission in the ionosphere and on the magnetic field of the earth.

It appears that research and all other values of these papers will have been exhausted upon the completion of two Solar Cycles plus a short period.

Dispose when 25 years old.

218. Ionospheric Data Message Forms - These are sheets on which the Ionospheric Forecaster records data received over the telephone and codes it for teletype distribution.

Dispose when 30 years old.

219. North Atlantic Quality Figure Report - These are worksheets on which the Ionospheric Forecaster posts his analysis of data as it will appear in the subject report. The report is included in a larger NOAA publication.

It is more economical and convenient for the Ionospheric Forecaster to keep his sheets rather than a complete set of NOAA publications for use as a worktool.

Dispose when 5 years old.

(Printouts)

220. Computer Programs - These are printouts of the program commands to the computer to select and process input data on the solar and geophysical conditions.

JUN 75

Dispose when superseded or when the program is dropped.

221. Output Printouts - These are printouts of the final product of the computer after it has processed source data. These products are usually in the form of a table of measurement or in a comparative summary of such tables.

Published Printouts - Dispose 6 months after acceptance of the printout and its publication.

222. Project Case File - This is the record copy of the project case file. They include basic papers such as (1) proposals, (2) ITS and the Sponsoring Agencies Letters of Agreement, (3) Contracts, if any, or work plans, (4) Financial Documents, (5) Manpower costs, (6) Correspondence relating to the project between ITS, the sponsoring agency and other; and (7) any other papers needed to document the origin and conduct of the project.

These papers appear to have no further value to the Government after the expiration of a period of time following the completion of the project.

Transfer closed cases to FARC in mutually agreeable consignments and dispose 10 years after closure.

JUN 75

Groups (also called Sections)

As stated in the introductory statement for the Division there are four Groups in it at this writing. The number of Groups in a given Division varies according to workload and other needs. The number of projects for which a given group is responsible is also variable.

The subject matter found in papers generated by the Groups varies at the project level. However, all papers found in the Groups follow a common pattern of filing and maintenance, and serve a common purpose.

To avoid needless repetition all of the records found in the Groups have been included below. It is not likely that any single Group will have all of the files listed and described, but only some of them.

223. Subject Correspondence File - This contains incoming and outgoing correspondence generated for the Group and Project Leaders and their Associates pertaining to the scientific work and administration of the Group. The file is maintained in the Group Leader's Office.

Most of the items of correspondence are not suitable for filing in the Project Case File, however, some are filed in both for convenience and quick retrieval.

These papers with a few exceptions, appear to have no long term value to the Government or public after the need for them by the Division has been served.

Review the file annually, move active files forward and dispose of all other papers when they have served their purpose or when 5 years old.

224. Technical Source Data Files - These are the papers generated or collected by the Group Leaders, Program Leaders, and his associates in the process of conducting the necessary experiments and analyses to produce a project final report. These include secondary source materials, correspondence, manually prepared calculations and formulas, tentative observations, and related drafts and workpapers.

JUN 75

These papers appear to have no further value to the Government or public after the expiration of a reasonable period following termination of project.

Dispose 1 year after the project is closed or when they have served their purpose.

225. Administrative Subject File - This contains office copies of the usual housekeeping papers concerning such matters as accounting, budget, committee papers, conferences, delegations of authority, program information, printing requisitions, publications, shipping documents, telegrams, work orders, speeches, security, space requirements, time and attendance reports, travel and the like.

Review the file at least annually, move active files forward and dispose of all others when they have served their purpose or when 2 years old.

226. Personnel Case Files - These are folders for each employee on the staff containing office copies of personnel actions and related papers concerning the employees career.

Dispose upon separation of the subject employee.

227. Chronological File - This contains a copy of each outgoing item of correspondence produced by the Group and project leaders.

Dispose when 2 years old.

228. IRAC Papers - These are copies of IRAC documents collected for use as a worktool.

Dispose of individual documents when they have served their purpose.

229. Weekly Forecast Mailing List - This is a list of designated recipients of the Forecast.

Dispose when superseded.

230. Project Case File - This consists of a case folder for each sponsored project undertaken by the Group. The cases are arranged numerically by an identification number.

Basic documents found in each case includes: (1) proposal, (2) ITS and sponsoring agency's letters of agreement, (3) work plans (milestone plan), (4) cost statements, (5) progress reports, (6) related correspondence, and (7) other papers concerning the origin and conduct of the project.

These papers appear to have no further value to the Government or public after expiration of a reasonable period of time following termination of the project.

- a. Record Set - Dispose 10 years after the case is closed
- b. All Other Copies - Dispose when they have served their purpose.

231. Pending Proposals - On occasion the various Divisions and other elements of ITS develop a proposal when it is known that an agency or agency's have a responsibility or primary interest in having the proposed scientific work done.

Most of these proposals become approved projects, but some do not.

- a. Approved Proposals - Move proposal to Project Case File.
- b. Unapproved Proposals - Dispose when no further action is anticipated on the proposition.

232. Reports and Reprints - These are copies of reports published by ITS and copies of reprints of articles produced by members of the ITS staff and some outside authors. They are collected and maintained as a worktool for members of the Group.

A record copy of each report published by ITS, and a copy of each article produced by a member of its staff along with reprints of articles produced by selected outside authors are maintained by the PTIO.

Dispose of individual documents when they have served their purpose.

JUN 75

233. Manuscripts and Drafts - These are the author's manuscript copies of reports and articles.

Dispose 6 months after date of publication or when they have served their purpose.

234. Maps - These are copies of maps produced by the Coast and Geodetic Survey, Defense Mapping Agency and similar or equivalent mapping organization of foreign governments. These maps are maintained for primary source data for original research.

This collection is an essential worktool and must be kept in close proximity to the professional users since there is probably not another set precisely like this one anywhere in the World.

Dispose of individual maps when superseded or when they have served their purpose.

235. Source Data Documents - These are the paper copies of documents containing the original data generated by scientists and other professionals in the process of their investigation for specific program areas or projects. These data are partially or wholly transcribed on punch cards or some other input medium for computer treatment. The data that are not transcribed cannot be regenerated.

In the case where the data are wholly transcribed on an input medium the papers are of only short-term value, however, when a part of the data in the source document is so treated the value of the papers is of a much longer term value.

- a. Wholly Transcribed Documents - Dispose 1 year after transcription.
- b. Partially Transcribed or Untreated Documents - Move active files forward and transfer to FARC in agreed upon consignments. Dispose of all others when 15 years old.

236. Strip Charts - These are photographic and other automatically produced recordings made by various types of equipment showing the original measurements of various phenomena under scientific investigation.

These charts contain data that cannot be replaced or recreated. However, normally the charts are scaled within a short time after they are produced. This is not the case in a few instances. Even though the charts have been scaled they should be maintained a reasonable period of time to allow for full scientific and other professional exploration.

Transfer to FARC in mutually agreed upon consignments.
Dispose when 15 years old.

237. Technical Reference Material - These are bookcase materials including printed or processed items used by the scientist and other professionals for reference. These materials are purchased from various sources or collected from other Government agencies or private organizations in the private sector without charge.

- a. Purchased Items - Return to the proper property officer when they have served their purpose.
- b. Free Items - Dispose when they have served their purpose.

238. Technical Parameters Laboratory Notebooks - These contain the measurements of antennas performance measurements made in the laboratory including antenna gain, impedance and radiation pattern.

Dispose 5 years after publication of the final report.

239. Equipment Operating Manuals - These are copies of operating manuals and specifications supplied by the manufacturer explaining the items operation and maintenance.

Dispose with the equipment when it is removed from ITS accountability in accordance with the Federal Property Management Regulations.

Project Leaders

(Microfilm)

240. Microfilm Strips - These are strips of microfilm made of a graph or some other display of data on a cathode ray tube. The strips are generally made for purposes of rapid and inexpensive reproductions of the image.

Dispose 2 years after termination of the subject project.

(Magnetic and Other Tapes)

241. Computer Program Tapes - These are magnetic, paper tapes or equivalent containing commands to the computer to select specified source data and make calculations in a specified array.

Scratch 5 years after termination of the subject project.

242. Intermediate Program Tapes - These are program tapes that are subject to periodic revision or replacement.

Scratch when superseded or when no longer needed.

243. Scientific Source Data Tapes - These contain data on geophysical phenomena measurements and parameters taken at many observation points either manually or automatically. These tapes or equivalent are produced by ITS or provided to it by other agencies. The data is frequently reviewed and corrected and updated on a new tape.

a. Superseded Tapes - The latest version of the data cannot be regenerated and has enduring value. Tapes replaced by the latest edited version scratch when the edited version has been checked and accepted.

b. Last Edition Tapes - ~~Retain~~ Transfer to FARC when no longer needed for current business and ~~offer to the National Archives within 1 year thereafter.~~ *dispose 15 years thereafter.*

JUN 75

(Printouts)

244. Intermediate Printouts - These are printouts of source data to be used for one analytical step in the process of producing a final report for the project. The computer makes the necessary calculations and displays the results in the form of a graph on a cathode ray tube and a microfilm strip reproduction of the graph is simultaneously made. Hard copies of the graph are produced as needed.

This also includes similar printouts such as one listing aircraft aloft in the area.

Dispose one month after the materials involved have been accepted and the necessary by products have been prepared for the next analytical step.

245. Program Printouts - These are program printouts for which no tapes are retained or any involved. This also includes some outputs produced from these printouts.

These are kept as a scientific worktool to produce more advanced computer programs in the same subject field.

Dispose when they have served their purpose.

246. Program Printouts - These are the usual computer commands on antenna performance data transcribed from paper tapes described above.

~~Retain. Transfer to FARC in mutually agreeable consignments and offer to the National Archives 1 year thereafter.~~ *dispose 15 years thereafter.*

247. Bi-Weekly Cost Reports - These are printouts produced at the Division, Group, and Project levels showing obligations, expenditures, and balance of funds at each level. The part of each report received at the Division level is distributed to the other organizational units involved. The accounting copy of these reports is maintained in NBS.

Dispose when 3 years old.

(Punch Cards)

248. Program Punch Cards - These are cards produced to translate computer program commands to machine readable language.

- a. Research Programs - Dispose 5 years after the project is closed.
- b. General Purpose Programs - Dispose 1 month after the data has been transferred to an approved tape, printout or equivalent.

JUN 75

DIVISION 2 - SYSTEMS TECHNOLOGY AND STANDARDS

The Systems Technology and Standards Division, is involved in a broad program of applied research and engineering directed toward systems analysis and the technical assessment of operational and potentially new communications systems and technologies of the Department of Commerce and other Federal agencies. The Division's program support the development of engineering standards, system evaluation and the dissemination of information by means of engineering reports, consulting and advisory services and training or educational programs. An objective of the Division is to integrate the capabilities throughout the Institute as needed to solve problems in existing or new systems applications.

- o Channel Characterization - this group is a program element enhancing our technology for efficient transmission of information in communication systems. Emphasis is placed on the transmission media. For example, in situ measurements of the impulse response of transmission channels in the VHF-SHF range are made with an instrumented probe system. The multiplicative type signal distortions that are caused by channel fluctuations are studied both analytically and in laboratory simulation experiments to evaluate system performance. Signal structures ranging from the human voice to high-speed digital data are considered in the program, with the objectives to improve transmission capacity, quality and our ability to predict performance. At present the group is conducting projects to examine:

- Speech intelligibility,
- AFAL simulation,
- Scintillation and "Sea State",
- Multipath model,
- Boone-Fowler propagation,
- RADC/ARPA Hawaii experiment,

- Time domain objective measurements,
 - Multipath handbook,
 - Channel probe studies,
 - RCAC colocation,
 - Seashore proximity measurements,
 - Channel simulation, and
 - Noise and interference study
- o Systems Assessment - this group applies advanced analytical, experimental and simulation techniques to determine performance estimates of cable, micro-wave and satellite telecommunications systems. Examples include satellite system studies for the U.S. Postal Service, Disaster Warning Satellite Circuit building losses for the NASA, some National Weather system circuits, the National Environmental Satellite Services GOES data collection satellite system, the ATS-6 educational television satellite broadcast experiment, cable television systems and digital picture coding applied to satellite and cable television transmission. At present the group is conducting projects to examine:
- Telecommunications survey and assessment,
 - Teleconferencing and satellite telecommunications,
 - Frequency allocation (study),
 - Direct Printing Telegraphy,
 - GOES Telecommunication (study),
 - GOES link analysis,
 - Atmospheric noise simulator development,
 - PBS TV station coverage,
 - Building attenuation,
 - EM location of trapped miners,

- Computer communications,
 - Satellite propagation studies,
 - NCS voice quality study,
 - FTSC/NCS digital system standards, and
 - Performance criteria for telecommunications.
- o Systems Engineering and Analysis - this group has been in existence for many years and has a long and successful record in the support of DoD and FAA communication systems. The group has developed the procedures and methods for system design, implementation, testing and operation of worldwide radio systems. At present the group is conducting projects to examine:
- DCS microwave radio,
 - SCOPE engineering,
 - Test acceptance upgrade,
 - Automatic technical control,
 - Systems applications consulting,
 - ASA communication network (study),
 - Digital systems engineering test facility,
 - VICOM interface (study),
 - Wideband communications at 15 GHz in Germany,
 - Microwave system studies,
 - RADC automatic data system,
 - Telecommunications glossary,
 - FKV Data Systems, and
 - Radio communication systems performance.

JUN 75

o Systems Technology - this group has two thrusts: ionospheric channel simulation which results in extensive modem testing and evaluation; and systems standards development and technical studies for major communications systems of the Defense Communications Agency. This work is vital to the Institute in achieving a role in technology transfer, through the development of telecommunication systems standards for non-defense applications, one of the most challenging fields for OT in the decade ahead. At present the group is conducting projects to examine:

- Digital Selective calling,
- Stratcom DIDS study,
- MEECN simulator,
- HF modem specifications,
- Technical control standards,
- MARAD program, and
- Anti-spoofing.

o New Technology Development - this group is designed to explore new areas of system applications or telecommunications technology for the Institute. Typically these exploratory activities lead to the establishment of new groups. A current example is the assessment and evaluation of fiber optics and associated technology for applications in telecommunication distribution and trunking networks. At present the group is conducting projects to examine:

- PCM/TDM test bed,
- Military application of optical fibers,
- Optical handbooks,
- Optical Data Systems,
- Optical communications,

- Undersea cable handbook, and
- Man-made EM interference.

The number of groups in the Division do not remain static nor do the number of projects within the group. Both vary with the need and workload priorities. Further, the personnel assigned to groups and projects are interchangeable on short notice in order to achieve the greatest utilization of professional capabilities and to advance each project most effectively.

Office of the Associate Director
and Assistant to the Associate Director
for Program Development

Conference Files.

History of Conference

249. Telecommunications for Government Conference - These are the papers of the Associate Director who serves as the local coordinator for the annual conference which is a interagency body sponsored by OT. The coordinator makes all arrangements for the meetings and directly contributes to the organization and agenda of the conference.

These papers are copies of those usually found in the office of an official occupying this kind of position.

2.5 CF PERMANENT
5" annual ~~Retain.~~ Transfer to successor or to FARC and offer for transfer to the National Archives 10 years thereafter.

250. Subject Correspondence File - This is incoming and outgoing correspondence generated or collected by the Associate Director pertaining to professional and managerial direction of the Division. More specifically, it includes budget, fiscal year planning, scientific committees, education and training, speeches, information and public relations, talks (internal), workshops, conferences, briefings to NAE and others, mission statements, publications and reports.

The papers appear to have no value after they have served their internal purpose.

JUN 75

Move active files forward and dispose of all others when 3 years old.

251. Project Technical Data - Radio Interference Propagation Program (RIPP) - These are the record copies of papers generated by the committee including agenda, minutes, correspondence, reports and other research papers. These papers should be kept long enough to insure full exploitation for future scientific investigations.

Transfer to FRC when no longer needed for current business and dispose when 15 years old.

252. IRAC Standards Working Group ^{File.} - As required, the Associate Director is designated to serve as chairman of an IRAC Subcommittee or the leader of an IRAC Ad Hoc Working Group. In both capacities he maintains the official records of the bodies involved.

Work papers and backup data generated by the subcommittee or working group have no value after the expiration of a short period of time after the body has been discontinued. The data in these papers are essentially duplicated in the agenda and minutes of IRAC and of the IRAC subcommittee involved which are retained long enough to serve all needs.

- a. Backup and Workpapers - Dispose 1 year after discontinuance of the subject body.
- b. Residual Papers - Forward to the IRAC Executive Secretary, Office of Telecommunications, Washington, D.C., 1 year after discontinuance of the subject body. Ultimate disposition of these papers shall be made in accordance with the retention period specified for similar papers of similar bodies headquartered in Washington, D.C.

*See
reference
file -
item 53.*

253. Chronological File - This contains a copy of each outgoing item generated by the Associate Director and Assistant to the Associate Director. This file is maintained for convenience of reference.

Dispose when 3 years old.

JUN 75

254. Group Correspondence - This consists of copies of correspondence generated by the several groups sent to the Associate Director for post audit reasons and informational purposes.

Dispose when 1 year old.

Assistant to the Associate Director
Administration

The Assistant to the Associate Director is directly responsible to the Associate Director on matters concerning division administration, and looks to the Executive Officer, ITS, in matters which pertain to the whole of the ITS organization.

The Assistant plans, controls and directs the administration of the Division including the provision of a full array of office services usually required by a major subdivision of a primary operating unit. His special assignments include serving as the ITS Space Officer, as a member of the Joint Space Utilization Committee which is made up of representatives of the major operating units involved. He also serves as the ITS member on the Interference Committee which deals with frequency management matters.

The Assistant to the Associate Director regularly meets with his counterparts from cross-service organizations to refine the terms of the agreements or to make adjustments in the implementing methodology under them to get better results.

255. Financial Papers and Reports - These are the papers generated by the Assistant so as to have an up-to-date account of the funding and work status of each project or other line items involved in the Division's activities with the capability of making satisfactory forecasts for each such item or combination of items. More specifically, the papers include budget materials, project cost reports, monthly status reports, individual cost accounting from support services, payment documents on communicating typewriters, feeder reports, copies of all ITS project proposals and similar documentation.

JUN 75

Review papers annually and move active files forward. Dispose of individual documents or the contents of file folders when they have served their purpose or when 3 years old, whichever is sooner.

256. Personnel Name Case File - This contains a folder for each employee in which office copies of personnel actions and related papers concerning the career of the subject employee are placed.

Record copies of all these papers that are needed for long-term purposes are maintained by the Personnel Offices, NOAA in the Official Personnel Folder.

Dispose 3 years after separation of the subject employee.

257. Project Case Files - All of the scientific work performed by the ITS and the Division is broken down in projects. Each project is given a distinctive numerical designation. The papers for each project are case filed to meet the needs of the organization segment holding them. Generally speaking these case files contain a copy of the project proposal, letters of acceptance from the sponsor and ITS, project milestone (work) plans, progress reports, and selected papers containing scientific or technical data, and other related papers of special interest.

These particular project case files are generated to enable the Assistant to the Associate Director to quickly respond to situations or inquiries concerning the administration of the project and on certain scientific characteristics of the project. These case files appear to have no value after the need of the Assistant has been satisfied, since record copies are maintained by the Groups.

Dispose 5 years after the project is closed.

258. Pending Project Proposals - On occasion the ITS prepares a project proposal for submission to a potential sponsoring agency. Such proposals are usually agreed upon and reach fruition in a formal project arrangement and the pending proposal is placed in the Project Case Files. The remainder of the pending proposals is held in this file for a short period of time.

JUN 75

Dispose when the proposal is dropped from the proposal list and is no longer being considered for acceptance.

259. Administrative Subject File - This contains office copies on matters such as budget instructions, equipment, equal employment opportunity, interference committee, minutes of meetings, military specifications dealing with forms and other issuances, purchase requisitions, summary log of time and attendance, training and education, travel and travel logs and the like.

Move active files forward and dispose of all others when 2 years old.

JUN 75

Groups (also called Sections)

As described in the introductory statement for the Division, there are five Groups in the Division. The number of Groups in the Division varies according to the need for scientific research in the Division's subject field and other factors such as workload. The number of projects for which a given group is responsible is also variable.

The subject matter covered by papers generated by each group is different from that covered by papers created by all other groups. Subject matter found in the records of each project is also peculiar to it. However, the records created at the Group and Project levels, in many cases, answer to the same description and serve the same purpose. Accordingly, all records found in the several Groups are given a common description below. It is not likely that any group will have all of the items listed, but only some them. Should any element of the group start a new file covered by an item in its part of this schedule, the terms of that item shall apply to the new file.

The allocation of the records between the Group and Project Leaders is arbitrary and is done only to show a pattern of physical location. The terms of each item apply to records in the Group wherever found.

Group Leader

260. Project Case Files - These papers are filed numerically by project number and are readily identified as case files. The basic papers found in each file include: (1) proposals, (2) ITS and sponsoring agency letters of agreements, (3) contracts, if any, (4) work plans (milestone plan), (5) financial documents including the project cost reports, (6) manpower costs, (7) correspondence relating to the project between ITS and the sponsoring agency and others and (8) any other papers needed to document the origin and conduct of the project.

Transfer closed cases to FARC in mutually agreeable consignments. Dispose 10 years after closure of the project.

JUN 75

261. Pending Project Proposals - These are papers generated by the Group in the form of Pending Project Proposals and related papers which have not yet developed into an approved project.

- a. Established Projects - Move relevant pending proposals papers to the record copy of the Project Case Files.
- b. Unestablished Project Proposal Papers - Periodically review and dispose of those on which no action is anticipated.

262. Symposium Papers - This is documentation of symposiums conducted by the Group including preparations for the symposium, compilation of materials for attendees, agenda, programs, minutes, copies of unpublished speeches and other presentations, and arrangements for payment of obligations involved.

Dispose 5 years after termination of the symposium.

Project Leaders

263. Authors Manuscripts - These are copies of mostly published authors manuscripts.

Dispose when 5 years old, or when published whichever is sooner.

264. Administrative Subject File - This contains office copies of housekeeping papers on the administrative management of the Group including such things as requisitions, incoming and outgoing internal correspondence, meetings, notices, speeches, personnel name case files, shipping documents, security, time and attendance, travel and the like.

- a. Personnel Name Case Files - Dispose 6 months after separation of the subject employee.
- b. All Other Papers - Dispose of individual documents or contents of file folders when 2 years old.

265. Reports and Reprints of Papers - These are selected copies of reports and reprints of papers produced by staff and outside authors which are collected by the Group for use as a worktool.

Copies of all reports and papers produced by ITS staff members are maintained by the PTIO, ITS. He also collects copies of reprints of papers produced by selected authors outside of ITS for inclusion in a record set.

Dispose when they have served their purpose.

266. Maps - These are copies of maps produced by the Coast and Geodetic Survey, Geological Survey, Defense Mapping Agency and similar or equivalent mapping organizations of foreign governments. These maps are maintained for primary source data for original research.

This collection is an essential worktool and must be kept in close proximity to the professional users since there is probably not another set precisely like this one anywhere in the world.

Dispose of individual maps when superseded or when they have served their purpose.

267. Project Technical Support Papers - These are the papers generated by the group leader and project leaders while the project is in progress. They contain scientific data supporting the findings presented in the final project report. Essentially all of the data found in these papers are summarized or duplicated in the report. Also included are multiple copies of reprints of both outside and internal papers on the subject area involved. These are kept for reference and distribution purposes and one copy of each of these produced by a staff member is retained in the record set by the PTIO.

Periodically review files for closed projects and dispose of those that are not needed for current business.

268. Strip Charts - These consist of photographs and other automatically recorded data on physical phenomena. These charts show the original measurements of various phenomena under scientific investigation.

These charts contain data that cannot be replaced or recreated. However, normally the charts are scaled within a short time after they are produced. This is not the case in a few instances. Even though the charts have been scaled they should be maintained a reasonable period of time to allow for full scientific and other professional exploration.

Transfer to FARC in mutually agreed upon consignments.
Dispose when 15 years old.

269. National and International Organizations Participation Papers - These are the papers generated by a staff member of the groups serving as the official representative of the U.S. Government on one or more of these organizations. Generally, these representatives are members of a related national organization having a large representation from government agencies. Each of these members would have copies of participant papers.

Record copies of these papers are maintained in the State Department and other sponsoring agencies. These papers are generally published at least once every 6 years.

Dispose 6 months after publication or by transmission to the chairman or another member as appropriate.

270. Equipment Specifications and Manuals - These are copies of specifications and operating manuals supplied by the manufacturer with an item of equipment which explains its construction, production capacity and procedures for the best utilization of the subject equipment.

Dispose with the equipment when ITS disposes of the equipment in accordance with the Federal Property Management Regulations.

271. Source Data Input Documents - These are the paper copies of documents or records transcribed to a medium in some other physical form (includes punch cards, tape or equivalent) containing the original data generated by scientists and other professionals in the process of their investigation for specific program areas or projects. These data are partially or wholly transcribed on punch cards or some other input medium for computer treatment. The data that are transcribed cannot be regenerated.

JUN 75

In the case where the data are wholly transcribed on an input medium the papers are of only short-term value, however, when a part of the data in the source document is so treated the value of the papers is of a much longer term value.

- a. Wholly Transcribed Documents - Dispose 1 year after transcription.
- b. Partially Transcribed or Untreated Documents - Move active files forward and transfer to FARC in agreed upon consignments. Dispose when 15 years old.

(Magnetic and Other Tapes)

272. Master Input and Output Tape or Equivalent - These are the master input and output tapes, or equivalent, containing the fundamental data used to produce the project final report. These tapes are of great significance because they contain data for generating new scientific projects as well as the information needed to verify the findings in the final report backwards and forwards in time.

~~Retain.~~ Transfer to FARC when no longer needed for current business, and ~~offer to the National Archives within 1 year thereafter.~~ *dispose 15 years thereafter.*

273. Intermediate Tapes - These intermediate tapes, if any are produced to accomplish one workstep. They have no further value after the planned workstep has been accomplished.

Scratch when the data has been transferred to an approved printout.

274. Sponsoring Agency Programming Tapes - These are tapes supplied by a sponsoring agency to the group involved under an arrangement for their return.

Dispose by returning to the sponsoring agency when the projects need for them has been satisfied. If there is no arrangement for return scratch 6 months after closure of the project.

275. Master Program Cassette, Magnetic Cards, Paper Tapes, or Equivalent - These are storage media developed while a project is in the process with any related hard copy papers.

Turn over to the sponsoring agency in accordance with the project agreement.

276. Master Source Program Tapes or Equivalent - These are selected program tapes, or equivalent, kept for reference after the record copies have been turned over to the sponsoring agency.

Scratch when they have served their purpose.

277. Master Program Discs - These are magnetic discs which store the computer program for the system. When the system has been in satisfactory operation for a period of time the data are transcribed on a master magnetic tape.

Erase when the data has been transcribed on tape and the disc is needed for reuse on another project.

278. Technical Data Tapes, Discs, or Equivalent - These are storage media containing all of the data needed by the scientist to reconstruct physical phenomenon data, dates, times, locations, weather information and the values of the parameters of the physical phenomenon measures.

These media contain all of the data needed to verify or validate the final report.

Scratch when they have served their purpose.

(Printouts)

279. Intermediate Printouts - These are subset printouts produced to accomplish one workstep.

These printouts have no value after the workstep has been completed.

Dispose when they have served their purpose.

280. Master Cumulative Printouts Supporting the Final Report - These printouts contain data from the Master Input and Output Tapes. However, it is impossible to reach a final determination on just how long each series of these printouts must be retained for purposes of verification and scientific investigations.

Dispose when they have served their purpose or when 15 years old, whichever is sooner.

281. Summary Project Printouts - These are summary printouts of the system produced just before or during early operation of the system. They are used to make necessary adjustments or to verify the validity of the data or system operations.

Dispose when they have served their purpose.

282. Final Program Printout - This printout contains commands to the computer to automatically process the input data.

Transfer to FARC in mutually agreeable consignments and dispose when 15 years old.

283. Project Cost Reports - These are biweekly printouts of cost statements at the division, group, and project levels. They show the reporting period, funds on hand, expenditures, obligations, paid and unpaid orders and the balance of funds.

The group leader receives two copies one of which he forwards to the project leader to keep him informed of the fiscal status of the project. Both copies are worktools and are duplicated by a set maintained in the Office of the Technical Assistant for Administration and Fiscal Officer.

Dispose 1 year after close of project.

(Punch Cards)

284. Program Punch Cards - These are cards produced to facilitate editing or revising the subject program.

JUN 75

Dispose after the related system is installed and accepted.

285. Program and Backup Report Decks - These are cards giving the computer commands on the aggregation, storage and array of data for automatic processing.

These decks are used by members and organizations of the scientific community for research for a period of time during which the deck(s) are made available to them as a package.

- a. Master Input and Output Decks or Tapes - ~~Retain.~~
Transfer to FARC when no longer needed for current business and ~~offer to National Archives within 1 year thereafter.~~ *Dispose 20 years thereafter.*
- b. All Others - Dispose when superseded or when 15 years old.

286. Technical Source Data Decks - These are punch cards on which technical source data have been transcribed in industrial standard machine readable language for automatic processing.

- a. Untaped Decks - Review decks annually and move active decks forward and dispose of all others.
- b. Taped Decks - Dispose 1 month after the data has been written on a tape or disc that has been checked and accepted.

(Mag Cards)

287. Mag Cards - These are cards prepared to store information on documents, lists, and the like that are subject to constant revision. The information on the card automatically activates a typewriter that will automatically type all of the information on the card or any selection of information on it in typescript or communicate such data to a computer for further processing.

JUN 75

These cards appear to have no value after the internal need for them has been satisfied. This system is used throughout the Division and this item should be applied wherever the cards are found in the Division.

Erase when they have served their purpose.

JUN 75

DIVISION 3 - APPLIED ELECTROMAGNETIC SCIENCE

The work of the Division under the Associate Director, who also serves as Division Chief, has as its objective the application of electromagnetic science to telecommunications problems. This work includes the delineation of the effect of the propagation medium on electromagnetic waves propagated through it (e.g., attenuation, dispersion, multipath effects, etc.). The work of the Division is conducted among six program area groupings as follows:

- o Navigation and D-Region Science - under a group leader, performs theoretical and experimental studies of radio navigation systems, their design, performance and calibration towards improved accuracy. The navigation sciences engineering examines:
 - Loran C/D theory and experiment,
 - Experimental and theoretical Loran temporal variations,
 - Differential Loran-C applications to high precision harbour and estuary navigation,
 - Defense Mapping Agency Loran studies,
 - Defense Nuclear Agency Partial Reflection studies.

Studies are also made of the Ionosphere D- and E-regions and their effects upon telecommunications, and models are also developed to predict the effect of ionospheric scintillations on digital microwave communications between earth and space.

- o Ionospheric Transmission Technology - under a group leader, studies the effects of the ionosphere on telecommunications systems and on over-the-horizon radar. The radio frequencies of interest range from a few tens of hertz through VLF, LF, and HF to the microwave range, where ionospheric scintillations may limit the performance of high-data rate systems. A sample of projects includes:

- HF over-the-horizon radar for remote sensing of sea surface conditions,
 - Development of lower ionospheric models needed to predict the time availability of VLF and LF radio systems at high latitudes,
 - Development of real-time ionospheric radar frequency management techniques, and
 - Regular and special predictions of the performance of HF radio systems for various users.
- o Advanced Communications Technology - under a group leader, conducts experiments to determine environmental effects on microwave and optical propagation of intelligence and information. Studies are conducted with instruments specifically designed to measure propagation effects such as attenuation, dispersion, depolarization and scattering.

Performance comparisons between microwave, millimeter and optical transmission on an important objection. A sample of studies includes:

- 35 GHz stratospheric propagation,
 - Depolarization of X-band signals on long atmospheric paths,
 - Optical signal availability on short paths, and
 - Propagation measurement equipment evaluations.
- o Advanced Analysis and Spectrum Extension - under a group leader, conducts studies of the effects of transmission through the atmosphere on communication techniques operating in the 10- to 300-GHz spectrum to obtain basic information for the effective application of this band. A sample of activities includes:
- Availability measurements of wide-band (1 Gb/sec) data links in K- and V-bands,

- Organization of international millimeter-wave symposium on the application of this spectral region, and
- Invention and development of specialized research instrumentation and techniques required for the above.
- o Microwave Theory and Predictions - under a group leader, investigates climatological and atmospheric effects on EM wave propagation at microwave frequencies. They conduct theoretical and empirical studies of the attenuation, phase delay, and depolarization of signals, all of which limit the effective bandwidth and performance of very-wide-band (megabit) systems. A sample of studies includes:
 - Prediction models for rainfall, its geographical and temporal variation,
 - Signal bandwidth limitation by rain, wind blown soil, and atmospheric turbulence,
 - Impact of atmospheric conditions on frequency assignment criteria, such as coordination distance, and
 - Ground/satellite propagation parameters.
- o Methodology and Operations Research - under a group leader, involve the development of the methodology for performance and operational capability assessment of software-supported tactical electromagnetic and weapon related systems, and the development and application of simulation techniques to predict the character of EM environments and resultant electronic system or equipment performance degradation.

Electronic system capability evaluation includes modeling of energy coupling phenomena (singular and multi-mode propagation, inter and intra system conducted and radiated components); equipment/system functional simulation; and operational capability compromise because of the EM environment. System applications include active and passive EM sensors and communications/command control functions.

Office of the Associate Director

288. Subject Correspondence File - This is incoming and outgoing correspondence that has application to all or several of the projects and activities of the Division, but is not suitable for filing in the case file in any particular project or activity. Primary headings found in the file include: B-Bonds, B-Budget, CA-Committee Administrative, COM-Communications, DE-Defense and Emergency Planning, E-Education, F-Forms, HS-Health and Safety, IA-Incentive Awards, IP-Information and Public Relations, L-Legislation, M-Meetings, MO-Management and Organization, PA-Patents, PB-Publications, PS-Personnel, PT-Printing and Duplication, R-Records, RP-Research Programs, S-Space, SE-Supplies and Equipment, SEC-Security, SS-Statistical Services, T-Training, TL-Translations, TV-Travel, V-Visitors and VH-Vehicles.

The papers under each primary heading are appropriately arranged alphabetically under secondary subject headings. Subject headings are added or dropped within the file as needed.

- a. CA-Committee Administrative - These are committee papers generated by the Associate Director as a member of the subject body or because he has a primary interest in its proceedings and transactions.
 1. Membership Papers - Transfer to successor or the chairman of the subject body.
 2. Papers Collected to Satisfy a Primary Interest - Dispose when they have served their purpose or when 2 years old, whichever is sooner.
- b. PB-Publications - Dispose upon separation of the author. Record set is held by the PTIO.
- c. Review all other papers at least annually, move forward active files and dispose of all others when they have served their purpose or when 2 years old, whichever is sooner.

JUN 75

This file would therefore, appear to have no value beyond the separation of the subject consultant.

Dispose upon separation of the consultant.

291. Committee Papers and Reports Index - These two (3X5) card indexes to the material described above; one arranged by author or title, the other arranged by subjects found in the documentation.

Dispose upon separation of the consultant.

292. Subject Correspondence File - This contains incoming and outgoing correspondence concerning the consultants current activities at ITS, and on a great variety of matters related to his scientific expertise and interests.

The papers are arranged alphabetically by names of correspondence or by subject. These papers appear to have no continuing value to others than the consultant himself.

Dispose upon separation of the consultant.

293. Technical Reference Papers - These are printed and processed materials collected by the consultant which contain data on his area of specialization that he uses for reference. These are secondary source materials.

Dispose when they have served their purpose.

Assistant to the Associate Director
for Program Development

The Assistant to the Associate Director also serves as the Group Leader for Methodology and Operations Research.

Nearly all of his records are among those attributed to and described under Group Leaders. Described below are those most closely related to his responsibilities and activities in the capacity of Assistant to the Associate Director.

JUN 75

289. Technical Reference Materials - These are monthly printed or processed copies of books and documents needed by the Associate Director in the course of discharging his daily responsibilities, or in connection with his personal involvement in scientific research.

Dispose when they have served their purpose.

Consultant to the Associate Director

As required consultants are designated to assist the Associate Director with scientific and other professional problems in very much the same manner as consultants to the Director, ITS. The Associate Director's consultants often serve as members or chairman of scientific organizations such as the International Radio Consultative Committee or one of its subordinate subcommittees or work groups. In addition, the consultant is subject to such special assignments as the Associate Director may deem necessary.

290. Committee Papers and Reports - The consultant serves as a member of various committees and these papers are collected or generated by him in the course of performing the attendees responsibilities of such service. For the most part these papers and reports are products of bodies with which the consultant has no connection. He collects the reports as a data bank containing the primary source data for research. All of the papers and reports deal with the particular consultant's professional specialization which in this case is ionospheric propagation and spectrum utilization and management. Comprehensive collections of these reports are available in some highly specialized libraries, and in depository libraries, to serve the needs of the professional community for future research purposes.

This file also contains copies of printed or processed reports provided by the consultant, however, copies of these are earmarked for retention in the record set held by the PTIO. In most cases this set also includes copies of all reports produced by a particular consultant during his career with ITS.

JUN 75

294. Administrative Subject File - This contains office copies of papers generated or collected as the Assistant to the Associate Director pertaining to the areas within Division 3 for which he has a standing responsibility of oversight. More specifically, it includes correspondence by employee's name; committee, groups and meetings (papers), progress reports, purchase requisitions, personnel name cases, information and public relations, time and attendance reports, trip reports, travel and the like.

- a. Personnel Name Case Files - Dispose 6 months after separation of subject employee.
- b. Requisitions and Purchase Orders - Dispose when 2 years old.
- c. All Other Papers - Move active files forward and dispose of all others when 2 years old, or when they have served their purpose, whichever is sooner.

295. Project Proposals - These are copies of pending and approved project proposals which the Assistant to the Associate Director needs for purposes of internal management.

Dispose when 2 years old.

296. Chronological File - This consists of a copy of each outgoing item produced by the Assistant to the Associate Director and maintained for convenience of reference.

Dispose when 1 year old.

Assistant to the Associate Director
for Administration

The Assistant to the Associate Director for Administration is responsible for providing for the Division, most of the administrative management functions including the full array of office services found in most offices.

In discharging these responsibilities he works closely with the Executive Officer, ITS, and has to assist him

JUN 75

and liaison officers in sub-divisions of the Division for certain specified key functions.

It must be remembered that the Assistant to the Associate Director helps to plan and implement the provision of cross-service agreements under which other agencies provide ITS, and in turn the Division, certain central services including accounting, procurement, personnel management, and other key functions. This being the case he participates in meetings with other key administrative officers for the purpose of making plans, policies, and other adjustments needed to refine the cross-service agreement arrangement.

The Assistant to the Associate Director and his staff help in the planning and policy making to meet the administrative needs of the Division and perform the work required to meet the needs of the Division for housekeeping functions with a few exceptions.

The Assistant also serves as OT/ITS Security Officer. Under the existing arrangement, the papers generated in this office are of short term value since record copies of them are maintained elsewhere long enough to meet all needs.

297. Project Case Files - All of the scientific work performed by ITS and the Division is broken down in projects. Each project is assigned to distinctive numerical designation. The papers created by each project are case filed to meet the needs of the organizational segment producing them.

These particular case files are created to meet the needs of administrative management as directed by the Assistant to the Associate Director. Each project case file contains a copy of the project proposal, letters of acceptance from the sponsor and ITS, project milestone (work) plan, progress reports and related papers.

These particular project case files are generated to enable the Assistant to the Associate Director to quickly respond to situations or inquiries concerning the administration of the project and on certain related scientific characteristics of the project. These case files appear to have no

value after the need of the Assistant has been satisfied, since the record copies of the project case files are kept by the group or project leader.

- a. Project Proposals, Letters of Acceptance, and Project Milestone Plans - Dispose 1 year after the project has been closed.
- b. Progress Reports and Other Papers - Dispose when the project is closed.

298. Pending Project Proposals - On occasion, the ITS works up a project proposal for submission to a potential sponsoring agency that is known to have some responsibility for and a primary interest in or need for the resolution of some telecommunications problems that requires scientific research. Such proposals are usually agreed upon and reach fruition in a formal project arrangement between the sponsoring agency and ITS. These proposals are of course made a part of the group or project leaders case files. The small percentage of rejected proposals are held in this file for a short period of time.

Dispose when 1 year old.

299. Personnel Name Case Files - These are folders bearing the name of each employee now on the Division 3 staff. The folders contain office copies and related papers concerning the employment of the subject employee. These papers are accumulated and maintained to meet the internal management needs of Division 3. After they have served that purpose they have no value.

- a. Personnel Name Case Files - Dispose upon separation by donation to the subject employee, if there is no pending transaction on which ITS is committed to.
 1. Cases on Which There is a Pending Transaction - Dispose by donation to subject employee upon termination of the transaction.
 2. Cases Involving Adverse Information - Dispose by treatment as wastepaper upon separation of subject employee.

- b. All Other Papers - Review at the end of each calendar year, move active files forward and dispose of all others.

300. Building Passes Register - This office is responsible for issuing OT building passes for employees and other persons of concern to ITS. The control of the passes issued outstanding and terminated is maintained in this register.

Dispose when all entries in the ledger have been terminated or otherwise satisfied.

301. Entrance on Duty Slips - This is a (5X8) card control certifying to the employment and status of each new employee along with the type of position held and some other related information.

Dispose of individual slips when the relevant data on them have been transcribed on security clearance control card and on the identification process Data Control Form (CD-18).

302. Identification Process Data Control - These are control cards containing the data from the Entry-on-Duty Slips needed to issue building passes and security clearances. The data includes name of the employee, operating unit or office, sex, height, weight, eyes, hair, date of birth, identification card number and the date issued.

Place the cards for separated employees in an inactive file, and dispose 2 years later.

303. Building Passes - These are official credential cards for the Boulder employees for identification purposes such as admission to building after hours, and for identification for admission to other government buildings.

Dispose upon separation of the subject employee.

304. Security Case Files - These are case files containing requests for security clearances and the actions taken on them. Also included are requests for visitation to security areas in other agencies for ITS employees.

Terminated employees' cases are filed in a separate file.

JUN 75

Dispose 5 years after separation of subject employee.

305. Classified Document Control Register ^{EXCLUSIVE OF TS DOCUMENTS} - This is a log for each classified document held or sent out by OT/ITS. It shows post office registration number, date received, control number, classification, originator control number, received from (organization, person, title), description of material, date of correspondence, report or copy number, number of pages, dispatched to, date of action, final disposition or destruction, certificate number or date and the method of delivery.

~~DESTROY WHEN 2 YEARS OLD. (GRS 18/2)~~

~~Dispose of in accordance with the provisions of Executive Order 11652.~~

306. Classified Document Control Cards ^{EXCLUSIVE OF TS DOCUMENTS} - These are (3X5) cards showing the name of the originator of the document received, the person or organization the material is addressed to, and a description of the material received and some other data transcribed from the register above. Under remarks the prescribed declassification action is noted with any necessary information.

Dispose of individual cards when the subject material is declassified or otherwise disposed of by an authorized step.

307. Classified Material Receipts ^{EXCLUSIVE OF TS DOCUMENTS} - These receipts accompany the document to be charged to the designated person who signs the ribbon copy and returns it to the ITS Security Officer. Copy of postal registration receipts, if any, are attached to the ribbon copy of the Classified Material Receipt and then filed alphabetically under the name of the person receiving the material.

~~DESTROY WHEN 2 YEARS OLD. (GRS 18/3)~~
a. ~~Dispose by return to the person or organization to whom the document was charged when the security classified document is appropriately accounted for.~~

b. Receipts for Material Mailed Out to Other Agencies or Outside Persons - ~~Dispose when 5 years old.~~ ^{DESTROY}

308. Report of Destruction of Classified Material ^{including TS documents} - This report shows the name of the custodian and his organiza-

JUN 75

tional code with the document control number, number of copies, and a paraphrased description of the document and when it was destroyed.

Dispose ~~5~~ years after the destruction date shown for the group of documents on the list.

309. Safe Report - This is a report of all safe files in use in OT/ITS for storage of classified material. This gives the name of the persons charged with the safe, his address and telephone number.

Dispose when superseded.

Students
for
4-yr
periods

310. Incoming Classified Visit Authorizations - This contains applications for authority to visit OT/ITS and deal with security classified information from outside parties or organizations. The file also contains a copy of the authorization granted showing dates of their visit with related papers.

~~Destroy 2 years after last entry or 2 years after date of document authorization is last.~~

~~Dispose of individual documents when the authorization granted has expired or otherwise disposed of.~~ ← O.K. R.C.T./I.P.

311. Time and Attendance Summary - These are summaries of time and attendance of each employee in the Divisions showing time allocated to each project or to the category of leave taken. From these feeder reports the assistant can draw data to evaluate patterns of leave taking, both annual and sick, and work done outside of the Division which are very important factors in considering financial management matters.

Dispose upon receipt of the June 30th Summary for the next fiscal year.

312. Financial Management Reports - These are special reports, profiles, and similar evaluations of the financial status of Division 3 prepared by the Assistant for submission to higher authority for decision making purposes. These papers have no value after the need for them by the Assistant has been satisfied, since all the data in these papers are essentially duplicated in budget submissions and other printed material issued.

Dispose after the fiscal year closes.

JUN 75

313. Training and Education Papers - These include recommendations from the group leaders on the types of training needed by members of his group. The Assistant reviews these recommendations and forwards the applications of those employees recommended by the group leader within budget resources. Also included are progress reports and related fiscal papers as the employees training progresses. The transactions involved are closed upon final payment to the organization giving it or upon the completion of the course, as appropriate.

The adequate documentation with respect to the employees and the Government's rights and on other follow-up matters is kept long enough elsewhere to meet all requirements.

Dispose of individual documents or the contents of file folders 6 months after the transaction has been closed.

314. Administrative Subject File - This contains office copies of the usual housekeeping papers related to internal communications with group leaders, mail and messenger service, property reports, requisitions, space, telephone service and the like.

Move active files forward and dispose of all others when 1 year old.

315. Budget File - These are the papers generated by the Assistant in the course of preparing various budget submissions for the Division.

Dispose when they have served their purpose or when 5 years old, whichever is sooner.

316. Chronological File - This is a copy of each outgoing item produced by the Assistant and his immediate aides. These are retained only for convenience of reference.

Dispose when 1 year old.

(Printouts)

317. Bi-Weekly Division and Section Summary Cost Statements - These printouts show the cost center number, number of large purchases, unliquidated obligations, charges for reporting period, credits for the period, man hours year to date, labor plus personnel benefits, overhead year to date, other objects YTD, charges YTD, allocations, reserve and balance YTD.

- a. Bi-Weekly Printouts - Dispose 1 fiscal year after receipt of the annual June 30th cumulative printout.
- b. June 30th Summary Issue - Dispose when superseded by the next issue.

318. Statement of Property Inventory as of (Date) - This is a work copy of a printout produced by the Executive Officer.

Dispose when it has served its purpose.

319. Billing Charges for Other Objects - These are printouts broken out for each of the other objects accounts for each pay period against cost center number. The data provided enables the Assistant to determine the financial status of project money for other objects at the close of each pay period. The papers appear to have no value shortly after the close of the fiscal year.

Dispose after the close of the fiscal year.

320. Manpower Cost Statements - The Assistant to the Associate Director has developed his own financial information retrieval plan to establish a data bank for evaluation of overhead costs for manpower and other costs. At present a printout of these costs is produced showing the identification number and name of each employee involved, grade, step, base salary, base per pay period, base per hour, overhead per pay period, project period, other agency project costs per pay period, and other agency costs per hour. This data bank holds out the opportunity for the Assistant to the Associate Director to utilize the data in these summaries to automatically provide special reports showing any allocation or array of data in the computer.

JUN 75

Dispose at the end of each fiscal year.

Groups (also called Sections)

As stated in the introductory statement for the Division there are six Groups in it at this writing. The number of Groups in a given Division varies according to workload and other needs. The number of projects for which a given group is responsible is also variable.

The subject matter found in papers generated by the Groups varies at the project level. However, all the papers found in the Groups follow a common pattern of filing and maintenance, and serve a common purpose.

To avoid needless repetition all of the records found in the Groups have been included below. It is not likely that any single Group will have all of the files listed and described but only some of them.

The allocation of various files made herein to an organizational subdivision such as Group Leader as opposed to Project Leader are not intended to hinder disposition of papers found in a particular Group. These allocations were made in order to present the most common pattern of the physical location of the records found in the Groups.

Group Leaders

321. Project Case File - These papers are generally kept in folders under the project number and are readily identifiable as case files. However, the physical arrangement from group to group varies to meet the needs of the responsible parties concerned. Whatever the arrangement, the basic papers found in each file include: (1) proposals, (2) ITS and sponsoring agencies' letters of agreements, (3) contracts, if any, or work plans (milestone plan), (4) financial documents including the project cost reports, (5) manpower costs, (6) correspondence relating to the project between ITS and the sponsoring agency and others, and (7) any other papers needed to document the origin and conduct of the project.

JUN 75

These papers appear to have no further value to the government or the public after the expiration of a period of time following the completion of the project.

- a. Transfer Closed Cases to FARC in mutually agreeable consignments. Dispose 10 years after closure of the project. *identified in accordance with criteria established by group leaders.*
- b. Selected Unique Project Case Files ~~Retain~~ **PERMANENT** Transfer to FARC in mutually agreeable consignments and offer for transfer to National Archives 10 years later.

*Possibly
4 CF in
3 years*

322. Project Technical Support Papers - These are the papers generated by the Group Leader and Project Leaders while the project is in progress. They contain scientific data supporting the findings presented in the final project report. Essentially all of the data found in these papers are summarized or duplicated in the report. Also included are multiple copies of reprints of both outside and internal papers on the subject areas involved. These are kept for reference and distribution purposes and one copy of each of those produced by a staff member is retained in the record set by the PTIO.

These papers appear to have no value for widespread use of the scientific community or government after separation of the incumbent who built the collection since its arrangement and characteristics are tailor-made to accommodate his professional expertise.

Speeches and other presentations made by the Group Leader and his colleagues are published or summarized in the journals of Government organizations and similar bodies in the private sector.

Dispose 2 years after completion of the project.

323. Pending Project Proposals - These are papers generated by the Group in the form of Pending Project Proposals and related papers which have not as yet developed into an approved project.

- a. Established Projects - Move relevant pending proposal papers to the record copy of the Project Case File.

JUN 75

- b. Unestablished Projects, Proposal Papers - Dispose when 5 years old or when they have served their purpose, whichever is sooner.

324. Q Data Pertaining to the Group - These are security classified materials generated or acquired by the Group in the course of the investigation and research for a given project.

Often the final reports for projects utilizing such materials are also classified and kept in security safes.

- a. Dispose in accordance with appropriate statutory authority and the regulations issued by sponsoring agencies.
- b. Dispose by returning to originating agency.
- c. Record Copies ITS Reports - ^{PERMANENT} ~~Retain~~ 1 copy in proper security equipment for ultimate inclusion in the record set maintained by the PTIO.

325. Administrative Subject File - This contains office copies of papers on the administrative management of the Division including such things as requisitions, computer charges, authors manuscripts, incoming and outgoing internal correspondence, documentation on equipment; meetings, notices, and speeches, publications reports, security papers, personnel name case files, time and attendance, travel and the like.

- a. Personnel Name Case Files - Dispose 1 year after separation of the subject employee.
- b. All Other Papers - Dispose of individual documents or the contents of file folders when 2 years old, or when they have served their purpose, whichever is sooner.

326. Chronological File - This consists of a copy of each outgoing item produced by the Group Leader and maintained for convenience of reference.

Dispose when 2 years old.

JUN 75

Project Leaders

327. Maps - These are copies of maps produced by the Coast and Geodetic Survey, Geological Survey, Defense Mapping Agency and similar or equivalent mapping organizations of foreign governments. These maps are maintained for primary source data for original research.

This collection is an essential worktool and must be kept in close proximity to the professional users since there is probably not another set precisely like this one anywhere in the world.

Dispose of individual maps when superseded or when they have served their purpose.

328. Loran-C Skywave Signals Charts (Worldwide) - Loran-C systems are low frequency (100 KHz) pulse transmission radio navigation systems. By sampling early in the pulse the ground wave signal free skywave contamination can be obtained. Navigation is obtained by measuring the phase time of arrival from three or more transmitters. The phase differences (called tDs) describe constant lines of position (LOP). Two crossing LOPs give a fixed location. The necessity for calibration and prediction comes from the fact that the radio wave does not travel at the speed of light in a vacuum. Irregular terrain and variations in surface impedance produce changes in the static grid, often referred to as "grid warp." These variations are constant with time and can represent parts in 10^{-3} of the speed of light propagation time. The variations also change as a function of height above the surface. Changes in the index of refraction and more particularly the lapse rate of the index of refraction "flattening factor" can produce temporal changes that may represent parts in 10^{-4} of the speed of light propagation time. These temporal changes can be related to seasonal and diurnal temperature variations, as well as weather front systems. All of the variations become very small over sea water paths because terrain is smooth and impedance, refractive index and lapse rate are all very constant over sea water.

These charts are produced for ITS to collect research data on Loran-C Skywave Signals throughout the world. The need for this data for the past and future is not restricted to

JUN 75

anyone project and is often useful for research being conducted by numerous related projects. The charts constitute an essential worktool which must be kept in reasonably close proximity to the professional users.

Transfer in suitable consignments to FARC. Dispose of individual charts when superseded or when they have served their purpose.

329. Strip Charts - These are oscillographs, ionograms, and other photographically recorded data, and similar recordings produced automatically by various types of equipment showing the original measurements of various phenomena under scientific investigation at the ITS.

These charts contain data that cannot be replaced or recreated. However, normally the charts are scaled within a short time after they are produced. This is not the case in a few instances. Even though the charts have been scaled they should be maintained a reasonable period of time allow for full scientific and other professional exploration. These materials maybe donated to any approved organization in the private sector after they are eligible for destruction.

Transfer to FARC in mutually agreed upon consignments. Dispose when 15 years old.

330. Source Data Input Documents - These are the paper copies of documents containing the original data generated by scientists and other professionals in the process of their investigation for specific program areas or projects. These data are partially or wholly transcribed on punch cards or some other input medium for computer treatment. The data that are not transcribed cannot be regenerated.

In cases where the data are wholly transcribed on an input medium the papers are of only short-term value, however, when a part of the data in the source document is so treated the value of the papers is of a much longer term value.

- a. Wholly Transcribed Documents - Dispose 1 year after transcription.

JUN 75

- b. Partially Transcribed or Untreated Documents - Move active files forward and transfer to FARC in agreed upon consignments. Dispose of all others when 15 years old.

331. Equipment Specifications and Manuals - These are copies of specifications and operating manuals supplied by the manufacturer with an item of equipment which explains its construction, production capacity and procedures for the best utilization of the subject equipment.

Dispose with the equipment when ITS disposes of the equipment in accordance with the Federal Property Management Regulations.

332. National and International Organization Participation Papers - These are the papers generated by a staff member of the group serving as the official representative of the U.S. Government on one or more of these organizations. Generally, these representatives are members of related National Organizations having a large representation from Government agencies. Each of these members would have copies of participant papers.

Record copies of these papers are maintained in the State Department and other sponsoring agencies. These papers are published about every 6 years.

Dispose 6 months after publication or by transmission to the chairman or another member as appropriate.

333. Papers of National Professional Organizations in the Private Sector - As a matter of meeting their responsibilities to themselves and to ITS members of the Group staff participate in the activities of such organizations and as a result generate papers. When appropriate the ITS finances such members trips and other activities. Nevertheless, the papers are an extension of the participating scientists professional creativity.

Dispose (1) upon termination of participation, or (2) upon separation of the incumbent professional involved.

JUN 75

(Magnetic Tapes)

334. Master Input and Output Tape or Equivalent - These are the master input and output tapes or equivalent containing fundamental data used to produce the project final report. These tapes are of great significance because they contain data for generating new scientific projects as well as the information needed to verify the findings in the final report backwards and forwards in time.

~~Retain.~~ Transfer to FARC when no longer needed for current business, and ~~offer to the National Archives within 1 year thereafter~~ *dispose 15 years thereafter.*

335. Intermediate Tapes - These intermediate tapes, if any, are produced to accomplish one workstep. They have no further value after the planned workstep has been accomplished.

Scratch when the data has been transferred to an approved printout.

336. Sponsoring Agency Programming Tapes - These are tapes supplied by a sponsoring agency to the Group involved under an arrangement for their return.

Dispose by returning to the sponsoring agency when the project need for them has been satisfied. If there is no arrangement for return scratch 6 months after closure of the project.

(Printouts)

337. Intermediate Printouts - These are subset printouts produced to accomplish one workstep.

These printouts have no value after the workstep has been completed.

Dispose when they have served their purpose.

JUN 75

338. Master Cumulative Printouts Supporting the Final Report - These printouts contain data from the Master Input and Output Tapes. However, it is impossible to reach a final determination on just how long each series of these printouts must be retained for purposes of verification and scientific investigations.

Dispose when they have served their purpose or when 15 years old, whichever is sooner.

(Punch Cards)

339. Program and Backup Report Decks - These are cards giving the computer commands on the aggregation, storage and array of data for automatic processing.

These decks are used by members and organizations of the scientific community for research for a period of time during which the deck(s) are made available to them as a package.

- a. Master Input and Output Decks or Tapes - ~~Retain. Transfer to FARC when no longer needed for current business and offer to National Archives within 1 year thereafter.~~ *Dispose 20 years thereafter.*
- b. All Others - Dispose when superseded or when 15 years old.

340. Technical Source Data Decks - These are punch cards on which technical source data have been transcribed in industrial standard machine readable language for automatic processing.

- a. Untaped Decks - Review decks annually and move active decks forward and dispose of all others.
- b. Taped Decks - Dispose 1 month after the data has been written on a tape or disc that has been checked and accepted.

JUN 75

(Property Liaison Officer)

This official serves as the Property Officer for the Group his records are essentially duplicated by those of the ITS Property Management Officer, the Executive Officer.

341. Property Records - These include receipts, property reports, itemized inventories of equipment containing the usual data on each piece of equipment for which the Group is responsible and related correspondence and worksheets. Also included are listings of laboratory and other equipment needed that are prepared by the responsible officials in the Groups.

Dispose when 3 years old. They may be kept for a longer period until problems of accountability resulting from the reorganization of ESSA are resolved.

JUN 75

ALL UNITS

Where any of the records listed below are described elsewhere in this schedule among those of a particular organizational unit, the retention period provided there shall prevail. Otherwise, the retention periods for records described hereunder shall apply wherever they are found in OT.

342. National Security Classified Documents - These are documents withheld from any but authorized inspection because they contain information that must be protected to maintain the national security. To provide such protection of their subject content, these documents are filed in special equipment separate from open papers, if there are any, that relate to the same function or matter.

a. Documents security classified by the Department:

(1) Copy kept in classifying office - Make disposition in accordance with retention period prescribed for the open file in which it would have been filed if it had been unclassified.

~~(2) Copy kept in classifying office that would not have been filed in an open file described herein even if it had been unclassified - Retain.~~

WITHDRAWN

(2) Information and supporting action copies in all other offices or units - Burn when the transaction is closed, or when the need to know has been satisfied, whichever is the case.

b. Documents classified by and received from other government agencies:

(1) Documents on which the Department took significant substantive action(s) - Make disposition in accordance with the retention period prescribed for open file, described herein, with which they would have been filed if they had been unclassified.

JUN 75

~~(2) Documents on which the Department took a significant substantive action, but which cannot be considered a part of an open file because of lack of any similarity of subject content - Retain.~~

WITHDRAWN

(2) Documents on which the Department took significant substantive action, but under agreement with sponsoring agency classified material is returned to them - Return.

(3) Information Copies - Burn when the need to know has been satisfied.

343. National Security Classified Document Control Files - These include registers of Top Secret and Secret documents maintained at control points to indicate accountability, receipts, records of safe and lock combination, and lists of persons knowing combinations.

a. Registers and Receipts - Dispose 5 years after documents have been downgraded or transferred.

b. Safe and Lock Combinations and Lists of Names of Persons - Dispose when superseded or upon turn-in of equipment.

344. "Chronological," "Reading," "Tickler," or "Suspense" File - These are extra copies of correspondence maintained for convenient reference or to flag a due date for an action. In some cases, the extra copies are removed from such files and used for cross-reference and other purposes in subject files. This, of course, liquidates the extra copy file.

Dispose of residual copies when 1 year old.

345. Reproducibles File - This includes manuscripts (camera copy), paper, photographic, and other types of plates or media used to reproduce multiple copies of documents for distribution.

Dispose when no longer needed for reprinting.

346. Directives - These are work copies of printed and processed Departmental Orders, OT issuances, OMB bulletins and circulars, GAO regulations, and similar authoritative issuances governing current operations.

JUN 75

Dispose of individual documents when revoked, superseded, or no longer applicable to the office or unit concerned.

347. Shorthand Notebooks and Dictation Tapes, Belts or Discs - These generally contain language for transcription or instructions requiring specific actions.

Dispose 3 months after transcription or completion of the subject transactions.

JUN 75