

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC1-417-79-01**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 11/21/2022

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 1 remains active.

Item 3 remains active.

Item 24 remains active.

Item 25 remains active.

Item 57 remains active.

Item 64 remains active.

Item 66 remains active.

Item 69 remains active.

Item 70 remains active.

Item 73 remains active.

Item 377 remains active.

### **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 2 was shown as covered by the GRS per N1-417-10-001 crosswalk.

Item 4 was deleted per N1-417-10-001 crosswalk.

Items 5-6 were shown as covered by the GRS per N1-417-10-001 crosswalk.

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

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Items 7 through 13 were deleted per N1-417-10-001.

Item 14 was superseded by NC1-417-85-01, item 1.

Item 15 was deleted per N1-417-10-001 crosswalk.

Items 16-17 were shown as covered by the GRS per N1-417-10-001 crosswalk.

Item 18 was deleted per N1-417-10-001 crosswalk.

Items 19-20 were shown as covered by the GRS per N1-417-10-001 crosswalk.

Items 21-23 were deleted per N1-417-10-001 crosswalk.

Item 26 was superseded by N1-417-10-001 item 27.

Items 27-34 were deleted per N1-417-10-001 crosswalk.

Item 35 was superseded by N1-417-10-001 item 9.

Item 36 was deleted per N1-417-10-001 crosswalk.

Item 37 was superseded by N1-417-10-001 item 10.

Item 38 was shown as covered by the GRS per N1-417-10-001 crosswalk.

Items 39-50 were shown as covered by the GRS per N1-417-10-001 crosswalk.

Item 51 was deleted per N1-417-10-001 crosswalk.

Item 52 was deleted per N1-417-10-001 crosswalk.

Items 53-54 were shown as covered by the GRS per N1-417-10-001 crosswalk.

Items 54A through 54E were deleted per N1-417-10-001 crosswalk.

Item 54F was superseded by N1-417-10-001 item .

Item 55 was deleted per N1-417-10-00 crosswalk1.

Item 56 was deleted per N1-417-10-001 crosswalk.

Item 58 was superseded by N1-417-10-001 item 6.

Item 59 was superseded by N1-417-10-001 item 6.

Item 60 was deleted per N1-417-10-001 crosswalk.

Items 61-63 were shown as covered by the GRS per N1-417-10-001 crosswalk.

Item 65 was deleted per N1-417-10-001 crosswalk.

Items 67-68 were shown as covered by the GRS per N1-417-10-001 crosswalk.

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

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Items 71-72 were shown as covered by the GRS per N1-417-10-001 crosswalk.

Items 74-81 were deleted per N1-417-10-001 crosswalk.

Items 82-83 were shown as covered by the GRS per N1-417-10-001 crosswalk.

Items 84-96 were deleted per N1-417-10-001 crosswalk.

Items 97-174 were superseded by N1-417-10-002, but not in a direct item:item way.

Item 175 was superseded by N1-417-11-001 item 2.

Item 176 was superseded by N1-417-10-001 item 45.

Items 177-205 were deleted per N1-417-10-001 crosswalk.

Item 206 was superseded by N1-417-10-001 item 46.

Items 207-376 were deleted per N1-417-10-001 crosswalk.

Item 378 was shown as covered by the GRS per N1-417-10-001 crosswalk.

Item 379 was superseded by N1-417-10-001 item 16.

Items 380-381 were shown as covered by the GRS per N1-417-10-001 crosswalk.

Item 382 was deleted per N1-417-10-001 crosswalk.

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

TO: **GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (AGENCY OR ESTABLISHMENT)

Department of Commerce

2. MAJOR SUBDIVISION

National Telecommunications and Information Adminis.

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Ivy V. Parr

5. TEL. EXT.

377-3630

LEAVE BLANK

JOB NO.

**NCI-417-79-1**

DATE RECEIVED

**May 8, 1979**

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.

**11-28-80** *[Signature]*  
Date Archivist of the United States

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 177 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ **A** Request for immediate disposal.

☒ **B** Request for disposal after a specified period of time or request for permanent retention.

C. DATE

**3-13-79**

D. SIGNATURE OF AGENCY REPRESENTATIVE

*Ivy V. Parr*

E. TITLE

Departmental Records Management Officer

7. ITEM NO.

8. DESCRIPTION OF ITEM  
(With Inclusive Dates or Retention Periods)

9. SAMPLE OR  
JOB NO.

10. ACTION TAKEN

**NATIONAL TELECOMMUNICATIONS AND INFORMATION  
ADMINISTRATION (NTIA)**

Establishment. The National Telecommunications and Information Administration of the Department of Commerce was established in accordance with Reorganization Plan No. 1 of 1977, the implementing Executive Order 12046, March 27, 1978, "Relating to the Transfer to Telecommunications Functions," and Department Organization Order 25-7, May 11, 1978, "National Telecommunications and Information Administration". In addition, in response to these Presidential Orders, a related Department Organization Order 10-10, May 9, 1978, "Assistant Secretary for Communications and Information" formally established the new Assistant Secretary and Deputy Assistant Secretary for Communications and Information in the Department, and designated these two officials as Administrator and Deputy Administrator of NTIA.

*all changes per MG of NARS and I.P.  
of Commerce 11-21-80*

**479 items**

115-107

*Closed Out 12-22-80 K.T.D*

*Copy sent to NCW, SNC, Agency, NNB, NNV, NNR,  
NNT, NNH & RNF*

**STANDARD FORM 115**  
Revised April, 1975  
Prescribed by General Services  
Administration  
FPMR (41 CFR) 101-11.4



MASS DATA CHANGE WORKSHEET					TYPE OF SCHEDULE		
					<input type="checkbox"/> REVISION	<input type="checkbox"/> NEW	<input type="checkbox"/> NC JOB
DATE DISPOSAL AUTHORITY FILE WAS UPDATED		DATE CENTERS MAY BEGIN INPUTTING MASS DATA CHANGES		INPUT CODE	INPUT CODE (If available)		PRINTOUT CODE
12-22-80		1-5-80		<input checked="" type="checkbox"/> NOT AVAILABLE			
APPLIES TO RG(S)	OLD AUTHORITY	NEW AUTHORITY	OLD RETENTION PERIOD	NEW RETENTION PERIOD	NET DIFFERENCE IN NO. OF YEARS (+ or -)	MASS CHANGE	MANUAL CHANGE
40	NC40/76/1/23	NC1-417-79-1/31	Move active files forward and retire all others to SHA when 3 years old, transfer to WNRC 1 year later. Dispose of when 15 years old.	Move active files forward and retire all others to SHA when 3 years old, transfer to WNRC 1 year later. Dispose of when 15 years old.	0	x	
40	NC40/76/1/25	NC1-417-79-1/33	Permanent. Retire to SHA when no longer needed for current business and offer to the National Archives 1 year later.	Permanent. Retire to SHA when no longer needed for current business for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.	NA		x
40, (417)	NC40/76/1/28	NC1-417-79-1/37	Dispose when 6 years old.	Dispose when 6 years old	0	x	
417	NC40/76/1/53	NC1-417-79-1/114	Permanent. Retire to SHA after microfilm-ed and offer for transfer to the National Archives.	Permanent. Retire to SHA after microfilm-ing for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.	NA		x

MASS DATA CHANGE WORKSHEET					TYPE OF SCHEDULE		
					<input type="checkbox"/> REVISION	<input type="checkbox"/> NEW	<input type="checkbox"/> NC JOB
DATE DISPOSAL AUTHORITY FILE WAS UPDATED		DATE CENTERS MAY BEGIN INPUTTING MASS DATA CHANGES		INPUT CODE	INPUT CODE (If available)		PRINTOUT CODE
12-22-80		1-5-80		<input checked="" type="checkbox"/> NOT AVAILABLE			
APPLIES TO RG(S)	OLD AUTHORITY	NEW AUTHORITY	OLD RETENTION PERIOD	NEW RETENTION PERIOD	NET DIFFERENCE IN NO. OF YEARS (+ or -)	MASS CHANGE	MANUAL CHANGE
417	NC40/76/1/79	NC1-417-79-1/140	Permanent. Transfer closed cases to WNRC every 3 years and offer to the National Archives 10 years thereafter.	Permanent. Retire closed cases to SHA every 3 years for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.	+10		x
40	NC40/76/1/334	NC1-417-79-1/369	Transfer to FRC when no longer needed for current business, and dispose 15 years thereafter.	Transfer to FRC when no longer needed for current business, and dispose 15 years thereafter.	0	x	

# MASS DATA CHANGE WORKSHEET

TYPE OF SCHEDULE

☐ REVISION

☐ NEW

☐ NC JOB

DATE DISPOSAL AUTHORITY FILE WAS  
UPDATED

DATE CENTERS MAY BEGIN INPUTTING MASS  
DATA CHANGES

INPUT CODE

☒ NOT  
AVAILABLE

INPUT CODE (If available)

PRINTOUT CODE

12-22-80

1-5-80

APPLIES TO RG(S)	OLD AUTHORITY	NEW AUTHORITY	OLD RETENTION PERIOD	NEW RETENTION PERIOD	NET DIFFERENCE IN NO. OF YEARS (+ or -)	MASS CHANGE	MANUAL CHANGE
417	NC40/76/1/55	NC1-417-79-1/116	Permanent. Retire to SHA when no longer needed for current business and offer for transfer to the National Archives.	Permanent. Retire to SHA when no longer needed for current business for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.	NA		x
417	NC40/76/1/57	NC1-417-79-1/119	Permanent. Retire to SHA after microfilmed and offer to the National Archives.	Permanent to SHA after microfilming for transfer to the WNRC. Offer for transfer to the National Archives 20 years thereafter.	NA		x
417	NC40/76/1/62	NC1-417-79-1/124	Permanent. Retire to SHA after microfilmed and offer to the National Archives.	Permanent. Retire to SHA after microfilming for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.	NA		x
417	NC40/76/1/65	NC1-417-79-1/127	Permanent. Retire to SHA after microfilmed and offer to the National Archives.	Permanent. Retire to SHA after microfilming for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.	NA		x

NAYSCOPY

# RECORDS CONTROL SCHEDULE



## NATIONAL TELECOMMUNICATIONS AND INFORMATION ADMINISTRATION

MARCH 1979

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# **REQUEST FOR RECORDS DISPOSITION AUTHORITY** (See Instructions on reverse)

TO: **GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (AGENCY OR ESTABLISHMENT)

**Department of Commerce**

2. MAJOR SUBDIVISION

**National Telecommunications and Information Adminis.**

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

5. TEL. EXT.

**Ivy V. Parr**

**377-3630**

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of \_\_\_\_\_ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ **A Request for immediate disposal.**

☒ **B Request for disposal after a specified period of time or request for permanent retention.**

C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE
		<b>Departmental Records Management Officer</b>

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><b><u>NATIONAL TELECOMMUNICATIONS AND INFORMATION ADMINISTRATION (NTIA)</u></b></p> <p><b>Establishment.</b> The National Telecommunications and Information Administration of the Department of Commerce was established in accordance with Reorganization Plan No. 1 of 1977, the implementing Executive Order 12046, March 27, 1978, "Relating to the Transfer to Telecommunications Functions," and Department Organization Order 25-7, May 11, 1978, "National Telecommunications and Information Administration". In addition, in response to these Presidential Orders, a related Department Organization Order 10-10, May 9, 1978, "Assistant Secretary for Communications and Information" formally established the new Assistant Secretary and Deputy Assistant Secretary for Communications and Information in the Department, and designated these two officials as Administrator and Deputy Administrator of NTIA.</p>		



NTIA represented a merger of the former Office of Telecommunications Policy (OTP) of the Executive Office of the President and of the Office of Telecommunications of the Department (OT). This dual organization for Government telecommunications matters had been established in 1970 under Reorganization Plan No. 1 of 1970 and its implementing Executive Order 11556 of September 4, 1970, with OT being supportive to the policy making OTP. In response to these Orders, OT had been established on September 20, 1970 by Department Organization Order 30-5A as a primary operating unit of the Department to succeed an office with the same title that had existed since December 3, 1967 in the Office of the Secretary.

Mission. The National Telecommunications and Information Administration (NTIA) of the U.S. Department of Commerce is the principal Executive Branch agency advising the President on most of the issues relating to the two areas that compose its title.

As such, NTIA embraces a number of varied activities. It plays a major role in developing communications and information policy for the Executive Branch. It works to insure that this policy is effectively presented to the Federal Communications Commission, the Congress, and the public. It coordinates Government preparations for international telecommunications conferences and negotiations and advises the State Department on international communications policy.

NTIA also contributes to the management and the improved usage of the Government's vast telecommunications resources. For example, it assigns frequencies to Federal radio stations and establishes policies concerning the assignment and use of the Government's share of the radio frequency spectrum. It explores possible applications of telecommunications systems. It performs applied scientific and engineering research and analysis to improve our understanding of the technology. It coordinates Federal telecommunications assistance to State and local governments. And, together with the Office of Management and Budget, NTIA evaluates the procurement and management of telecommunications systems for the Federal Government.

The Assistant Secretary for Communications and Information who serves as Administrator of NTIA is the principal adviser to the President on telecommunications policies pertaining to the Nation's economic and technological advancement and to regulation of the telecommunications industry.

Binder. This schedule is presented in format reflecting the present organization of NTIA as stated in Department Organization Order 25-7, May 11, 1978. However, a change of title or organizational location of any unit or any reorganization shall have no effect on its provisions as long as the files described herein continue to accumulate and serve the same purpose.

The provisions of the General Records Schedules issued by the General Services Administration are hereby superseded, since this NTIA schedule includes all general and housekeeping records that are covered by the General Records Schedule and covers all the records maintained by NTIA.

The Records Control Schedule obsoletes and replaces the Records Control Schedule of the former Office of Telecommunications, issued September 1976 and the disposal Schedule of the former Office of Telecommunications Policy issued to the OTP staff as of June 19, 1972 (OTP Order No. 3). It is the sole authority for the legal disposition of any and all NTIA records.

ASSISTANT SECRETARY FOR COMMUNICATIONS  
AND INFORMATION

The Assistant Secretary for Communications and Information shall be the Administrator of NTIA (the "Administrator") and shall determine policy, direct programs, and be responsible for all activities of NTIA.

## OFFICE OF THE ASSISTANT SECRETARY

1. Assistant Secretary Program Subject File - This file of the Assistant Secretary for Communications and Information (and Director of the National Telecommunications and Information Administration) (NTIA) reflects his responsibility for the development, implementation, and executive direction of NTIA programs and operations and particularly those matters in which he has an interest through personal participation. The file contains record copies of documentation relating to such activities.

Typical subject headings include: Public Broadcasting, Commerce Council, Electronic Mail, Emergency Broadcasting System, Fairness Doctrine, Hearings, Information Policy, Appointments, and Speeches. Arranged alphabetically by subject.

Permanent. Start a new file every 2 years. Bring forward active materials as needed. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

2. Administrative Subject File - Office copies of documents pertaining to such internal housekeeping matters as budget, mail, travel, personnel, invitations, and similar internal housekeeping matters.

Dispose of when 2 years old.

3. Chronological File - The file consists of a copy of each document prepared or signed by the Assistant Secretary, and maintained in date order. It can serve as a guide to records decentralized throughout the Administration.

Retire to SHA when 5 years old. Transfer to WNRC 1 year later. Dispose of when ~~8~~ years old.

10

## Office of the Deputy Assistant Secretary

The Deputy Assistant Secretary for Communications and Information shall be the Deputy Administrator of NTIA (the "Deputy Administrator"), shall assist the Administrator in the formulation of policies and in the management and direction of NTIA, and shall perform the functions of the Administrator in the latter's absence or disability or in the event of a vacancy in that office.

4. Program Subject File of the Deputy Assistant Secretary. The file reflects the basic responsibilities assigned to the Deputy Assistant Secretary for Communications and Information (and Deputy Director of the National Telecommunications and Information Administration), concerning primarily executive direction for the internal management and coordination of the Administration's programs.

It includes such subjects as Budget, TV Broadcasting, Speeches, Rural Communications, Program Reviews, Program Planning, and Organization Structure.

Start a new file every 2 years. Bring forward active materials as needed. Retire to SHA 1 year later. Transfer to SHA 2 years later. Dispose of when 25 years old.

5. Administrative Subject File. The file consists of office copies of documents pertaining to such internal housekeeping activities as personnel, travel, invitations, job descriptions, and similar housekeeping activities.

Dispose of when 2 years old.

6. Chronological File. Consists of an extra copy of documents signed or prepared by the Deputy Assistant Secretary and maintained in date order.

Dispose of when 5 years old.

#### Chief Scientist

This is a new office established in the 1978 reorganization setting up NTIA.

7. Science Program Subject File. Reflects the activities of the Chief Scientist in advising the Administrator in Scientific telecommunications matters and representing the Administration on various scientific organization and bodies involved in telecommunications.

Included in this subjectively arranged file are such subjects as Interagency Committee on Telecommunications Applications, National Research Council, Organization for Economic Cooperation and Development, Institute for Electrical and Electronics Engineers, Conferences, FCC Dockets, FCC Petitions, Nonionizing Radiation and the like.

Arranged alphabetically by subject.

Permanent. Start a new file every 5 years. Bring forward active material. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

8. Administrative Subject File. Consists of office copies of documents pertaining to such internal housekeeping activities as travel, personnel, publications, and similar housekeeping matters.

Dispose of when 2 years old.

9. Chronological Files - Consists of an extra copy of documents generated by the Chief Scientist and maintained in date order.

Dispose of when 5 years old.

#### Office of Planning and Policy Coordination

The Office of Planning and Policy Coordination shall be headed by the Director of Planning and Policy Coordination and shall assist the Administrator and Deputy Administrator in performing their policy and management responsibilities. In performing these functions it shall:

a. As directed, represent the Administrator in the development and implementation of telecommunications and information policies and in all other program activities of NTIA.

b. Assist the Administrator and the Deputy Administrator in developing program priorities, goals and objectives, in the allocation of resources, and in the evaluation of NTIA telecommunications and information policies and those of other agencies.

c. Coordinate the activities and programs of the Associate Administrators and other offices in the performance of their missions and in interdepartmental activities.

d. Provide overall guidance, planning and policy direction on the management and organization of NTIA and on the performance of NTIA programs, including the direction of organizational and management studies, the development and promulgation of management procedures and the coordination on such matters with other Departmental offices.

e. Provide policy and program guidance on the formulation, preparation and presentation of NTIA budgets and on the integration of policy goals and program plans into budget documents. Coordinate on such matters with the Departmental offices.

f. Develop, propose, and coordinate long and short-term program and policy directions; and program plans for NTIA and incorporate such considerations into the programmatic and administrative functions of NTIA.

g. Perform such other tasks as shall from time to time be assigned by the Administrator and Deputy Administrator.

This is a new office established during the 1978 reorganization setting up NTIA.

10. Policy Documentation Files - The file consists of xerox copies of documents involving policy signed by the Assistant Secretary or Deputy Assistant Secretary, and selected policy materials such as hearings, speeches, and the like, including policy materials forwarded to the office from constituent organizations comprising NTIA. This important file is based on the physical clearance by this office of policy documents prior to their release, and includes clearance sheets reflecting the coordination and clearance process of such policy documents. It also includes materials from the former OTP covering the President's initiative on studying the implications of the privacy laws on government information activities.

Arranged alphabetically by subject.

Permanent. Break file every year. Retire to SHA when 2 years old. Transfer to WNRC 2 years later Offer for transfer to National Archives 20 years thereafter.

11. Program Subject File - Consists of documents reflecting the internal program planning and policy coordination responsibilities of the office. It includes such subjects as Budget, Presidents Reorganization Project, Milestones, Program Planning, and Rural Communications.

Dispose of when superseded or when 10 years old, whichever comes sooner.

12. Administrative Subject File - Consists of materials pertaining to such internal housekeeping activities as payroll, time and attendance, requisitions for supplies and services, travel, budget, and similar housekeeping matters.

Dispose of when 2 years old.

13. Chronological Files - Consists of office copies of documents prepared or signed in the office and maintained by date.

Dispose of when 1 year old.

#### OFFICE OF THE CHIEF COUNSEL

The Office of the Chief Counsel shall be headed by the Chief Counsel of NTIA who shall have full responsibility for the development and administration of the NTIA legal program. The Office shall:

a. Provide legal advice and general counselling to the Administrator and all components of NTIA with regard to the powers, duties, and responsibilities of NTIA and its relationship with other government departments and agencies (particularly, the Federal Communications Commission (FCC), Congress, business, industry and private organizations; and the development and administration of NTIA policies and programs.

b. Prepare or review legislative proposals and statements concerning pending legislation or oversight to be made before committees of Congress, and prepare or review regulatory proposals and comments before regulatory agencies.

c. Carry out additional policy development functions with significant legal orientation as the Administrator shall from time to time direct.

These activities shall be carried out subject to the overall authority of the Department's General Counsel as provided in DOO 10-6.

~~14. Legal Program Subject File - Documentation maintained for the Office covering such legal matters as decisions, opinions and legal interpretations; regulatory and legislative matters, litigation, and other matters relating to legal aspects of the telecommunication program.~~

~~Included are such subjects as Advisory Committees, ATT, Cable, Communications Act, Conferences and Conventions, Corporation for Public Broadcasting, Dockets, International Communications, Law Suits, Legislation, Program Planning, Privacy, Satellites, Speeches, and Television.~~

This file provide the basic documentation for NTIA policy matters involving legal interpretations and activities.

Arranged alphabetically by subject.

Permanent. Break file every 3 years. Bring forward active materials as needed. Retire to SHA 1 year later. Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.

*disposition  
Not approved*

15. Working Files of Individual Legal Personnel - Consist of materials accumulated by individual attorneys pertaining to assigned responsibilities including extra copies of documents maintained in the program subject file and working papers and reference materials of a legal nature.

Dispose of when no longer needed for current business or when obsoleted, whichever comes sooner.

16. Administrative Subject File - Contains office copies of documents pertaining to such internal housekeeping activities as budget, time and attendance, personnel, travel, requisitions for supplies and services, and similar internal housekeeping matters.

a. Applications for employment. Send successful applications to Office of Personnel. Unsuccessful applications should be returned to the sender or disposed of within 1 year as appropriate.

b. All other records - Dispose of when 2 years old.

17. Chronological File - Consists of an extra copy of documents prepared or signed in the Office and maintained in date order.

Dispose of when 10 years old.

#### OFFICE OF INTERNATIONAL AFFAIRS

The Office of International Affairs shall be headed by the Director of International Affairs and shall provide the Administrator with broad overview and advice on international telecommunications and information affairs. To perform this function it shall:



- a. Assist in the formulation and recommendation to the Administrator of policies and plans for U.S. participation in international telecommunications and information activities.
- b. Coordinate NTIA and interdepartmental economic, technical, operational and related preparations for U.S. participation in international telecommunications conferences and negotiations.
- c. Maintain liaison with government agencies and private organizations engaged in activities involving international telecommunications and information matters and maintain cognizance of activities of U.S. signatories to international telecommunications treaties, agreements and other instruments.
- d. Provide for NTIA representation to international telecommunications and information meetings and to domestic activities preparatory to such meetings excepting for matters specifically assigned to other officers by the Administrator or Deputy Administrator.
- e. Provide for NTIA advice and assistance to the Secretary of State with respect to international telecommunications policies to strengthen the position and serve the best interests of the United States in the conduct of negotiations with foreign nations.

These activities shall be carried out in close consultation with, and with the assistance of, the Associate Administrators.

- . This Office with some exceptions basically is a continuation of the work of the former International Communications Office of the former OTP.

18. International Program Subject File - This file reflects the responsibilities of the Office involving representation of the Administration on various international organizations involving telecommunications as well as policy development activities concerning telecommunications and information matters. More specifically it concerns the relationship of the Office to such international organizations concerning telecommunications management as the International Telephone and Telegraph Consultative Committee, (CCITT), European Space Agency (EUROSPACE), INTELESAT including Board of Governors and COMSAT Board of Governors, together with other materials documenting international satellite communications and other international telecommunications activities that are not filed separately in the Office.

Break file every 2 years. Bring forward active materials as needed. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Dispose of when 25 years old.

19. Administrative Subject File - Office copies of documents pertaining to such internal housekeeping matters as time and attendance, travel, budget, personnel, requisition for supplies and services, and similar internal housekeeping activities.

Dispose of when 2 years old.

20. Chronological File - Consists of a copy of documents generated or signed in the office, and maintained in date order.

Dispose of when 2 years old.

21. State Department Cablegrams - Received copies of State Department overseas cablegrams maintained for informational purposes.

Dispose of when 3 months old.

22. FCC Dockets - Copies of dockets of Federal Communications Commission actions of interest to the Office and related records in the international communications area.

Retire to SHA 3 years after termination of docket.  
Transfer to WNRC 2 years later. Dispose of  
20 years after termination.

23. RCA - ATT Circuit Reports - Copies of circuit reports and related materials received from ATT, RCA, and such common carriers of interest to the office.

Retire to SHA when 2 years old. Dispose of 3 years later.

24. COMSAT Files - The file consists primarily of documentation pertaining to Board of Governors meetings of the International Satellite Organization (INTELESAT) including background materials involved, and maintained in three-ring binders. Department of Commerce is responsible for providing instructions to COMSAT in its role in the INTELESAT organization, and this file is the major documentation of such Departmental responsibilities. Arranged by date of meeting.

*Dispose of when no longer needed  
for current business.*

~~Permanent. Retire to SHA when 15 years old for transfer to WNRC. Offer for transfer to National Archives 20 years thereafter.~~

25. International Maritime Satellite Organization (INMARSAT) Files - Consists mainly of documentation pertaining to Board of Governors of the INMARSAT meetings including background materials. Department of Commerce is responsible for providing instructions to COMSAT in its role in the International Maritime Satellite Organization, and this file is the major documentation of such Departmental responsibilities. Arranged by date of meeting.

Permanent. Retire to SHA when 15 years old for transfer to the WNRC. Offer for transfer to the National Archives 20 years thereafter.

26. Files of Other International Communications Committees or Organizations - These files document the relationship to this office to such organizations as the Consultative Committee on International Radio (CCIR), the Aeronautical Satellite Group (Aerosat), the International Telegraph and Telephone Consultative Committee, and similar groups.

Retire to SHA when 3 years old. Transfer to WNRC 2 years later. Dispose of when 10 years old.

27. Contract Files - The file consists of copies of contracts and related materials covering the conducting of studies on international communications funded by the former Office of Telecommunications Policy.

Dispose of when 7 years old.

28. International Communications History Files - Consists of documentation collected by the former Office of Telecommunications Policy to serve as a history of Government international telecommunications programs including the defunct NSA program covering the period prior to 1970. Arranged by subject.

Permanent. Retire to SHA for transfer to WNRC. Offer for transfer to National Archives 20 years thereafter.

*Withdawn*

29. Staff Working Paper Files - These files maintained in the offices of various staff members, include extra copies of documents prepared or accumulated in the office together with other working papers on international communications.

Dispose of when no longer needed for current business or when obsoleted, whichever comes sooner.

30. General Operations File - Consists of miscellaneous correspondence and documents involving short-term international communications activities of a one-time nature maintained separately for ease of reference and disposition.

Dispose of when 1 year old.

## OFFICE OF ADMINISTRATION

### Director

The Director of Administration provides analysis and assistance for the Administrator toward developing or improving the management systems of the office. He also serves as the principal assistant and advisor to the Administrator on administrative 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).

31. Administrative Management File - The Director of Administration is responsible for the administration of the fiscal, personnel and office services program of NTIA. In addition, he serves as the secretariat for the Executive Advisory Board and issues and maintains a historical set of the Administrative Instructions Manual.

The file contains record copies of all papers collected or generated by the Director in his capacity as the official having primary responsibility for the administration management of NTIA under the general supervision of the Administrator.

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, Forecast System, Grants, Information Services, Labor Management, Management Meetings, Objectives (Presidential), 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 NTIA, while the National Bureau of Standards provides it with accounting services.

These papers constitute the prime source of data concerning the development and implementation of the administrative programs and policies of the NTIA, 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 of when 15 years old.

32. Administrative Instructions Manual - This is a record copy of every administrative instruction issued under the manualized system now used by NTIA. Arranged by subject code.

Permanent. Retire to SHA when no longer needed for current business for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.

33. Executive Advisory Board Committee Files - The Board advises the administrator and other senior officials regarding program and other problems areas with which it 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. Arranged by meeting.

Permanent. Retire to SHA when no longer needed for current business for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.

34. Reserved.

## Budget Analyst

35. 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.

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.

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

Although NTIA 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 NTIA.

Since NBS maintains the record copies of all NTIA accounting documents, these papers are generated solely for the purpose of keeping senior NTIA officials informed of the current financial position of NTIA. 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.

37. Budget Submissions - This includes the submissions of constituent units of NTIA 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 NTIA budget submissions and the supporting papers arranged by fiscal year and thereunder by subject headings.

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)

38. Preliminary Printouts - These are prepared as feeder reports for use in managing the operating budget and in preparing fiscal submission to higher authority. Additional or different printouts may be produced however, which include, but are not limited to:

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 NTIA 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 NTIA officials that advises them of the current financial status of NTIA.

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

## Management Analysis

Plans, directs and coordinates the internal activities of NTIA which include: (1) clarifying and defining objectives, functions, and organizational relationship; (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 NTIA officials.

39. 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

40. 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 NTIA 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 years after separation of the subject employees.

41. 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.

42. 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 - Return to applicant or dispose of when 1 year old, whichever is appropriate.

43. Training Courses - This file contains material which describes training courses available to NTIA employees during the fiscal year. It also includes documentation of the training taken by each NTIA 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.

44. 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 NTIA 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 NTIA.

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

45. Security Subject File - This file contains record copies of all papers generated by the incumbent in his capacity as Security Officer for NTIA. 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.

#### Administrative (Office) Service Staff

46. 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 NTIA 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 area throughout NTIA.

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

Any policies, procedures, or transactions involving review and approval by higher authority are documented in the Administrative Management File maintained by the Director of Administration, NTIA. 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.

47. Procurement Log, Purchase Orders and Related Papers - These papers are maintained in file folders and they include copies of a log showing the date, control number, vendor, description, item and object class, appropriation, and cost of each purchase order issued date that receiving report was sent to the accounting office; 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.

48. 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 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.

49. 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, and the date, name (signature) of employees 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.

50. Travel Folders - These are name case files arranged alphabetically containing copies of the travel voucher, travel order, 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.

51. 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 NTIA headquarters.

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

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

Dispose of individual documents when they have served their purpose.

53. 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 NTIA's need for them has been met.

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

54. Contract Files - Consists of copies of contracts and related papers let by NTIA and its predecessor agencies. Record copies are maintained by the Accounting Division of the National Bureau of Standards.

Retire to SHA 1 year after closure for transfer to WNRC. Dispose of 6 years after closure.

(Technical Library)

54 A Public Correspondence File - This contains incoming and outgoing correspondence concerning the informational resources of the NTIA 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.

54 B Internal Correspondence File - This contains incoming and outgoing correspondence between the Library and other elements of NTIA, 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.

54 C 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.

54 D 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.

~~Permanent. Retire to SHA when no longer needed  
for current business for transfer to WNRG. Offer  
for transfer to the National Archives 20 years  
thereafter.~~

54 E. 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 NTIA 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 recieved has been satisfied.

54 F. NITA and Predecessor Agency Publications - This consists of a record set of one copy each of all publications produced and issued by NTIA and OT. Arranged by title.

~~Permanent. Retire to SHA when no longer needed  
for current business for transfer to WNRG. Offer  
for transfer to National Archives 20 years there-  
after.~~

*see revised disposition  
P.23A*

## Request for Records Disposition Authority—Continuation

JOB NO.

PAGE OF

23A

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
54F.	<p>(1) Publications printed by the Government Printing Office (GPO).</p> <p>Destroy in agency when no longer needed for current business or reference.</p> <p>(2) Publications printed by NTIA , its predecessor agencies, or other non GPO organizations for NTIA.</p> <p>(a) Record copy</p> <p>Permanent. When no longer needed for current business retire to SHA. Transfer to FRC if volume warrants. Offer to NARS when 20 years old.</p> <p>(b) All other copies.</p> <p>Destroy in agency when no longer needed for current business or reference.</p>		

OFFICE OF CONGRESSIONAL AND PUBLIC AFFAIRS

The Office of Congressional and Public Affairs shall be headed by the Director of Congressional and Public Affairs and shall recommend objectives and policies relating to public affairs, plan and conduct information and educational program to insure that the public and staff are properly informed of NTIA's activities, and in conjunction with the Department's Office of Congressional Affairs shall coordinate liaison with the Congress and develop plans and programs for, and assist in, the presentation of NTIA's views and policies to appropriate Congressional bodies. In carrying out these functions, the Director of Congressional and Public Affairs shall maintain liaison with the Departmental Offices of Congressional Affairs and Public Affairs, shall act consistently with the overall policy directives of those offices, and shall be responsive to their inquiries.

55. Congressional and Public Information Files - Contains copies of documents generated or accumulated by the Congressional and Public Affairs Director, NTIA, in the course of providing the public as well as other government agencies and the Congress information concerning the development program and finding and technological accomplishments of NTIA. The papers are arranged subjectively.

The file contains documentation of the whole array of responsibilities and activities assigned to the Congressional and Public Affairs Director concerning domestic and international common carriers, commercial and public broadcasting, satellite communications, rural communications, electronic mail, and other issues involving the electromagnetic spectrum.

Break file every 2 years. Bring forward active materials. Retire to SHA 2 years later. Transfer to WNRC 1 year later. Dispose of when 10 years old.

56. ~~NTIA Publications File - Consists of an office copy working set of publications, including audiovisual materials, produced by NTIA and predecessor agencies. The record copy set of such issuances is maintained by the Library.~~

*see revision P.24A*  
~~Dispose of when no longer needed for current business or when obsoleted, whichever comes sooner.~~

57. Congressional Relations File - Contains papers pertaining to various contacts with Senators and Representatives, arranged by name of legislator, as well as documentation relating to various Congressional Committee, arranged by name of Committee.

Dispose of when 6 years old.

58. Press Release File - Contains office copies of press releases issued by NTIA and predecessor agencies. Record copies of press releases of NTIA are maintained by the News Room, Office of the Secretary.



## Request for Records Disposition Authority—Continuation

JOB NO.

PAGE OF  
214A

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
56.	<p>Publications, photographic prints, and slides maintained by the Office of Congressional and Public Affairs.</p> <p>A. Captioned color slides of notable activities, equipment, and events undertaken and/or sponsored by NTIA.</p> <p>Permanent. Cut off file and place in the inactive file when 5 years old. Offer to NARS when 10 years old.</p> <p>B. All other publications, photographic prints, and slides.</p> <p>Dispose of when no longer needed for current business.</p>		

Dispose of when 2 years old.

59. Speech File - The file contains collected copies of speeches of various NTIA officials retained by the office.

Dispose of when 2 years old.

60. Biographies - The file contains copies of collected biographies of top officials of NTIA maintained by the office.

Dispose of when 2 years old.

61. Administrative Subject File - The file consists of office copies of documents pertaining to such internal housekeeping activities as time and attendance, budget, personnel, travel, various administrative services matters, and similar housekeeping activities.

Dispose of when 2 years old.

62. Routine Request File - Contains routine correspondence and requests from the public for various publications of NTIA not involving substantive or policy determinations.

Dispose of when 1 year old.

63. Chronological Files - Consists of a copy of documents generated or signed in the office and arranged by date.

Dispose of when 2 years old.

#### OFFICE OF TELECOMMUNICATIONS APPLICATIONS

The Office of Telecommunications Applications shall be headed by the Associate Administrator for Telecommunications Applications and shall, on behalf of the Administrator, conduct programs to assist public service agencies and other groups in more effectively using telecommunications technologies to better achieve public service and other national goals. To perform this function it shall:

- a. Coordinate Federal telecommunications assistance to State and local governments.
- b. Identify public service and other users' needs and develop methods of efficiently and effectively serving such needs through telecommunications services.
- c. Develop policies for the continuing development of public broadcasting, including the use of new technologies.

d. Develop and maintain relationships with Federal agencies so as to assist them in determining ways in which innovative telecommunications technologies can contribute to the more effective delivery of public services; work with them in adapting such technologies to their own needs; and identify ways in which they can facilitate applications by others to meet public service and other national goals.

e. Conduct or coordinate interagency experimental and pilot testing of telecommunications uses.

f. In coordination with other Associate Administrators, work to remove barriers to the orderly introduction of innovative telecommunications technologies in the private sector, and provide for the application of such technologies to avoid waste and achieve an efficient delivery of public services in the furtherance of national goals.

g. In addition, a grant program covering funding of public telecommunications facilities has been transferred from HEW to this office.

This is a new office in NTIA with no organizational counterparts per se in the former OT or OTP. Similar to other NTIA offices, the basic documentation of its policy determinations and important actions is maintained by the Office of Planning and Policy Coordination. Also, at present there are no formal organizational subdivisions, but there are Program Officers in charge of the various programs of the Office who report directly to the Associate Administrator in charge.

64. Applications Program Subject File - This file, maintained by the Associate Administrator, reflects the various programs under the purview of the Office, including such programs as the Minority Development Telecommunications Program, the Public Broadcasting Program, the Rural Telecommunications Application program, the Federal State Relations program, the Public Service Satellite Applications program, the Home Information System program, the Public Broadcasting Grants program certain emergency medical activities, and similar telecommunications applications or innovative use programs.

Included in the file are both general correspondence type records and records reflecting various projects carried out under the programs, but the basic documentation on policy or important activities is maintained in files of the Office of Planning and Policy Coordination.

Dispose of when superseded or when 5 years old, whichever comes sooner.

65. Staff Working Paper Files - These files consist of files on assigned programs maintained by Program Officers and staff covering the particular program area for which each program officer and staff is responsible. Basically they contain extra copies of documents that are also maintained by the Associate Administrator or the Office of Planning and Policy Coordination, and various background working papers and reference materials needed by these employees.

Dispose of when no longer needed for current business or when superseded, whichever comes first.

*see revision  
p. 27A*

66. Committee Files - These files consist of documentation pertaining to various interagency committees, subcommittees, working groups, and the like, upon which the Associate Administrator or Program Officers serve as representative of NTIA, or may serve as Chairmen. The files are maintained by the Associate Administrator and cover such matters as meetings, recommendations, reports, agendas, membership, related correspondence and the like. Included in the Committee files are records pertaining to the Interagency Committee on Satellite Telecommunications Applications, the Interagency Committee on Telecommunications and Applications including records pertaining to the related National Research Council Communications Board and the Rural Telecommunications Subcommittee; and the Interagency Committee on Emergency Medical Services Communications Interagency Work Group; and records on similar committees and working groups.

Arranged by Committee on subgroup and by meeting thereunder.

~~Permanent. Retire to SHA upon change of representation or when no longer needed for current business, as appropriate. Transfer to WNRG 2 years later. Offer for transfer to the National Archives 20 years thereafter.~~

*see revised disposition p. 27A*

## Request for Records Disposition Authority - Continuation

JOB NO.

PAGE OF

27A

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
65.	<p>Video Tape Programs. Produced for the Office of Telecommunications Applications under contract No. NT-80-SA-A-00216 for use at the American mission/embassy to Peking. Three 10 minute programs with sound tracks in English and Chinese. The programs concern an overview of telecommunications, telecommunications and education, and the application of telecommunications to medicine.</p> <p>Permanent. Offer the original or earliest generation of the recording of each program, with a copy of the contract, to NARS when no longer needed for administrative use or when 5 years old, whichever is sooner.</p>		
66.	<p>A. Record copies maintained by the NTIA sponsor or secretariat.</p> <p>Permanent. Retire to SHA when the committee is terminated. Transfer to WNRC, if volume warrants, 2 years later. Offer to NARS when 20 years old.</p> <p>B. All other committee records.</p> <p>Destroy when three years old or when no longer needed for reference.</p>		

67. Administrative Subject File - Consists of Office copies of documents pertaining to such internal housekeeping activities as budget, personnel, time and attendance, travel, requisitions for supplies and services, and similar internal housekeeping matters.

Bring forward active files as needed, and dispose of when 2 years old.

68. Chronological Files - Consists of an extra copy of documents prepared or signed in the Office and maintained in date order.

Dispose of when 2 years old.

Public Telecommunications Facilities  
Grant Program

69. Public Telecommunications Facilities Grant Case Files - The file consists of pending, deferred, active, and completed case files involving applications received from public broadcasting and other eligible telecommunication facilities for federal grants to assist in the establishment or operation of a facility. The Federal interest in the facility, by law remains 10 years after final payment of the approved grant.

Retire cases to SHA after completion of the Federal interest in the facility. Transfer to WNRC 2 years later. Dispose of ~~15~~ years after final payment has been made.

70. Public Telecommunications Facilities Program Subject File - The file consists of documentation of a non-case file nature reflecting the policies and procedures involved in administering the public telecommunications facilities program grants concerning NTIA and predecessor agencies. Included in the file are such subjects as Conferences, Studies, Annual Reports, Legislation; Long Range Finance, Optimal Planning System, state T.V. Program, Telecommunications Demonstration Act, Public Broadcasting Services, OMB Circulars, Congressional Statements, and the like.

Earlier segments of the records dating from 1964 are maintained separately from the current files.

Break file every 5 years. Bring forward active materials as needed. Retire to SHA 5 years later. Transfer to WNRC 1 year later.

Dispose of when 25 years old.

71. Administrative Subject File - Office copies of documents pertaining to such internal housekeeping matters as time and attendance, travel, personnel, budget, telephone, requisitions for supplies and services and similar internal housekeeping matters.

Dispose of when 2 years old.

72. Chronological File - Extra copies of documents prepared or signed in the Office, and filed by date.

Dispose of when 3 years old.

73. Processing Books - These summary basic documentation books of the public telecommunications facilities grant program contain summary forms reflecting each proposed application received for Federal grants and copies of pertinent applicable procedures and policies governing processing such grants. The records are maintained in 3-ring binders which are arranged in date order, one binder per year, and serve as an excellent summary of the grant program operations for the year.

Permanent. Retire to SHA when no longer needed for current business for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.

74. Working Files of Telecommunications Specialists - The files, maintained in the offices of various staff members, consist of extra copies of documents, working papers, drafts, and reference materials maintained for use of the particular staff member concerned.

Dispose of when superseded or no longer needed for current business, whichever comes sooner.

#### OFFICE OF POLICY ANALYSIS AND DEVELOPMENT

The Office of Policy Analysis and Development shall be headed by the Associate Administrator for Policy Analysis and shall, on behalf of the Administrator, be responsible for the analysis, review, and formulation of domestic and international telecommunications and information policies and, at the direction of the Administrator, may present domestic and international policy before the FCC, the Congress and elsewhere. To perform these functions it shall:

- a. Conduct or obtain analyses incorporating economic and other aspects of domestic and international telecommunications policy issues. For analyses involving legal and technical aspects of those issues draw upon and coordinate with the Office of the Chief Counsel and the Institute for Telecommunications Sciences. Integrate the results of these activities for the purposes of policy formulation.
- b. Provide advice and assistance to the Administrator and the Director of International Affairs in carrying out NTIA's international telecommunications and information policy responsibilities and perform such other duties related to those responsibilities as the Administrator shall designate.
- c. Provide other policy research, analysis and development in support of the policy research needs of other elements of NTIA.

This Office was formed during the 1978 reorganization creating NTIA by merging the former Policy Support Division of the former Office of Telecommunications including the former Policy Support Division Detachment at Boulder, Colorado, and the Policy and Planning Office of the former OTP.

75. Policy Analysis and Development Subject File - This is the principal file maintained by the Associate Administrator for Policy Analysis, NTIA. It includes both subjectively filed documentation of a general nature and subjectively filed program case files primarily concerning the Information Policy Program and the International Policy Program, for which headquarter's offices have assumed leadership. The file includes correspondence with the Boulder, Colorado detachment of the office.

Included in the file are such subjects as Government Communications Information Society, Spectrum Policy, Mass Communications - Broadcasting, Mass Communications - Cable, Mass Communications - pay TV, and Common Carrier.

Case files on projects contain such basic documents as work plans, progress reports, abstracts, contracts or project agreement, and correspondence related to a project.



Basic documentation on such activities is also maintained in the office of Planning and Program Coordination.

a. Subject-filed general correspondence of NTIA - Break file every 3 years. Move forward active materials as needed. Retire to SHA 2 years later. Transfer to WNRC 2 years later. Dispose of when 25 years old.

b. Project Case Files of NTIA - Retire to SHA 2 years after completion of project for transfer to WNRC. Dispose of when 10 years old.

76. Former OTP and OT Policy and Planning Subject Files - These basically centralized files of the former Policy and Planning Office and of the former Policy Support Division of OT provide the basic documentation for policy formulation for Cable TV, auxiliary signals, revisions of the Communication Act of 1934, and common carrier activities, and similar telecommunication responsibilities of OT including research studies. In addition, they provide documentation for the former program of OT concerning the formulation of Policy Research Estimates and Policy Option Formulations. Included with the file are indexes and summary listings. Arranged by subject and date.

Permanent. Retire to SHA 2 years after the reorganization for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.

77. Industry Contract File - The files reflect the contracting activities of the Office in providing for policy studies by outside contractors.

Bring forward active materials. Retire to SHA after 2 years. Transfer to WNRC 1 year later. Dispose of when 7 years old.

78. Government Relations File - The file, arranged by name of Government agency pertains to relations of the office with other Government agencies such as the FCC, the Executive Office of the President, and the like.

Bring forward active materials. Retire to SHA after 2 years. Transfer to WNRC 1 year later. Dispose of when 10 years old.

disposition not  
approved

79. Common Carrier Special Studies File - The file consists of copies of study reports and other papers relating to various common carrier studies; including accounting depreciation and brokerage studies. Bring forward active materials. Retire to SHA after 2 years. Transfer to WNRC 1 year later. Dispose of when 15 years old.

80. Outreach File - The file pertains to a former OTP program concerned with the telecommunications industry and is primarily of a public relations nature.

Dispose of when 2 years old.

81. Working Files of Staff Members - The files, maintained in the offices of various staff members consist primarily of reference materials, working papers, and extra copies of documents maintained by individual staff members. Each staff member works in particular subject matter area, such as international programs, information programs, and the like.

Dispose of when no longer needed for current business or when superseded, whichever comes sooner.

82. Administrative Subject File - Consists of office copies of documents pertaining to such internal housekeeping activities as budget, personnel, time and attendance, travel, requisitions for supplies and services, and similar housekeeping matters.

a. Personnel name folders - Dispose of 6 months after separation of employee.

b. All other records. Bring forward active materials and dispose of when 2 years old.

83. Chronological File - Consists of a copy of documents signed or prepared in the office, and maintained by date.

Dispose of when 3 years old.

Office of Policy Analysis and Development  
Detachment - Boulder, Colorado

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

The objectives, and functions of the Detachment were the same as those of the Policy Support Division. For purposes of management and leadership the Detachment was headed by a chief and below this level there was 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 whole Detachment is maintained by the Chief's secretary with the assistance of such records-keepers 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.

Each of the program assignments given the Detachment is assigned a distinct title, and a case file is maintained in the subject file for all papers relating to it.

In the 1978 reorganization establishing NTIA, the Boulder Detachment was continued organizationally as part of the Office of Policy Analysis and Development. It was assigned leadership for such programs as the Domestic Common Carrier Industry and Market Structure Program; the Broadcasting Cable, and Mobile Radio Policy Program; and the Economic Assessment of Spectrum Scarcity Program.

84. Policy Analysis and Development Subject File - This file is the major program subject file of the Detachment maintained in the Chief's office. It includes both subjectively filed documentation of a general correspondence nature, and subjectively filed program case files covering the assigned programs of the Detachment.

These subjects include Government Communications, Information Society, Spectrum Policy, Mass Communications, Broadcasting, Mass Communications - Cable, Mass Communication - Pay TV, and Common Carrier.

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.

- a. Subject-file General Correspondence-Break file every 3 years. Transfer to FARC 2 years later. Dispose of when 25 years old.
- b. Project Case Files - Transfer to FARC 2 years after closure of project and dispose of 10 years later.
- c. Project Supporting Papers - Review the papers and select documents of execeptional value for inclusion in the Project Case File. Dispose of all others 2 years after the project is closed.

85. Administrative Subject File - This consists of office copies of documents pertaining to such internal housekeeping matters as accounting, budget, travel, purchase orders, personnel, requisitions, space, time and attendance, and similar housekeeping matters.

- a. Duplicate Personnel Name Folders - Dispose of 1 year after separation of employee concerned.
- b. Records pertaining to imprest funds - Dispose of when 3 years old.
- c. All others - Bring forward active records as needed, and dispose of others when 2 years old.

86. Final Reports - 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 typescript and printed Policy Research Estimates and any other final reports produced by the Detachment. Arranged by subject.

Although an attempt has been made to centralized all final policy reports in the headquarters office, not all such reports, particularly those involving contracted studies, have been sent to headquarters.

Record Set - ( 1 copy of each subjectively arranged report.) Permanent. Transfer to FARC when no longer needed for current business. Offer for transfer to the FARC Archives Branch 20 years later.

87. 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.

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

Dispose when 3 years old.

#### (Computer Services)

The Policy Analysis and Development 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 NTIA information recorded thereon.

#### (Printouts)

89. 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.

90. 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.

91. 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 September 30th summary issues.

b. September 30th Summary Issue - Dispose when 10 years old.

(Punch Cards)

92. 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.

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.

93. 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)

94. Coding Forms - These are stereotyped columnar work sheets on 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)

95. 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)

96. MAG 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.

OFFICE OF FEDERAL SYSTEMS AND SPECTRUM MANAGEMENT

The Office of Federal Systems and Spectrum Management shall be headed by the Associate Administrator for Federal Systems and Spectrum Management and shall:

- a. On behalf of the Administrator NTIA, advise the Director of the Office of Management and Budget (OMB) on the development of policies for procurement and management of Federal telecommunications systems. Conduct studies and evaluations concerning telecommunications research and development, the initiation, improvement, expansion, testing, operation, and use of Federal telecommunications systems and programs, and make recommendation to appropriate agency officials and to the Director, OMB, concerning the scope and funding of such programs.
- b. Provide for the coordination of the telecommunications activities of the Executive Branch and assist in the formulation of policies and standards for the telecommunication activities of the Executive Branch including consideration of interoperability, privacy, security, and emergency preparedness.
- c. Participate with, and perform staff services for, the National Security Council and the Director, Office of Science and Technology Policy, in carrying out their functions under Executive Order No. 12046.

- d. Participate in evaluating the capability of telecommunication resources in recommending remedial action and in developing policy options.
- e. Assign radio frequencies to, and amend, modify or revoke frequency assignments for radio stations belonging to and operated by the United States, make frequency allocations, and develop and maintain techniques, data bases, measurements, files and procedures necessary for such allocation.
- f. Establish policies concerning spectrum assignment, allocation and use, and provide the various Departments and agencies with guidance to assure that their conduct of telecommunications activities is consistent with these policies.
- g. Develop, in cooperation with the FCC, a comprehensive long-range plan for improved management of all electromagnetic spectrum resources including jointly determining the National Table of Frequency Allocations.
- h. Provide a chairperson and secretariat functions for the Interdepartment Radio Advisory Committee.
- i. Authorize, upon the recommendation of the Secretary of State and after consultation with the Attorney General and the Chairperson of the FCC, the construction and operation of radio stations by foreign governments at the seat of government, and assign frequencies for their use.
- j. Advise and assist the Administrator on technical and policy issues surrounding the security of national telecommunications and systems and means to assure such security.
- k. Provide advice and assistance to the Administrator and the Director of International Affairs in carrying out spectrum management related aspects of NTIA's international policy responsibilities and perform such other duties related to those responsibilities as the Administrator shall designate.



This office includes personnel and records merged from the OT Spectrum Management Support Division and the OTP Offices of Government Communications and of Frequency Management. As such, it serves as the focal point in NTIA for the Interdepartmental Radio Advisory Committee, (IRAC).

Office of the Associate Administrator

97. Associate Administrator Program Subject File - The file reflects the coordination, management, and executive direction of the Associate Administrator and Deputy Associate Administrator in administering the Federal systems and spectrum management program of NTIA. The file contains only materials pertaining to specific matters of interest to the Associate Administrator or Deputy Associate Administrator, as the basic documentation on programs is maintained at lower organizational levels within the office.

Retire to SHA when 5 years old. Move active files forward as needed. Transfer to WNRC 1 year later. Dispose of when 25 years old.

98. 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. Arranged by year.

Permanent. Retire to SHA when no longer needed for current business for transfer to WNRC. Offer for transfer to National Archives 20 years thereafter.

99. Administrative Subject File - Consists of office copies of documents pertaining to such internal housekeeping activities as budget, time and attendance, personnel, requisitions for supplies and services, travel, and similar housekeeping matters.

a. Personnel name folders - Dispose of 6 months after separation of employee.

b. All other papers - Dispose of when 2 years old.

100. Duplicate Project Case Files - The file consists of materials pertaining to selected projects of the Office of interest to the Associate or Deputy Associate Administrator. The record copy of any such cases is maintained at lower organizational levels, and this file is maintained for convenience of operations.

Dispose of when 5 years old.

101. Frequency Assignment Subcommittee IRAC File - This file reflects the materials on this subcommittee maintained by the Associate or Deputy Associate Administrator mainly for convenience of operations. The basic record of such subcommittee files is maintained by the IRAC Secretariat.

Dispose of when 5 years old.

102. Chronological Files - Consists of a copy of documents prepared or signed or reviewed by the Associate or Deputy Associate Administrator and maintained in date order.

Dispose of when 2 years old.

#### Office of Spectrum Plans and Policies

103. Career Development Program File - Consists of documentation pertaining to the NTIA/IRAC sponsored career development program for spectrum management personnel throughout the Federal Government. Included in the file are materials on each Federal agency involved on coordination and development of mid level and senior level training opportunities in the constituent agencies comprising IRAC, and on the intern training program. Basic documentation on the program is included in the IRAC secretariat files.

Retire to SHA every 5 years. Bring forward active materials as needed. Transfer to WNRC 1 year later. Dispose of when 10 years old.

104. Spectrum Management Information Center Files - Files consist of documentation pertaining to the administration and operation of the Spectrum Management Information Center. This center services the constituent agencies comprising IRAC.

Dispose of when 3 years old.

105. Workshop and Seminar Files - Documentation pertaining to periodic technical workshops and the annual career Development Seminar or other seminars conducted for spectrum management personnel in the constituent agencies comprising IRAC.

Retire to SHA every 5 years. Bring forward active materials as needed. Transfer to WNRC 1 year later. Dispose of when 10 years old.

106. Central Frequency Management Subject File - This office file consists of materials reflecting the frequency management program of NTIA and its predecessor agencies. It concerns such areas as spectrum management, membership of staff on various groups and organizations concerned with frequency management such as IRAC, satellite communications, relations with Federal agencies, interference problems, radio broadcast, and the like.

Break file every 5 years and retire to SHA 1 year later. Bring forward active materials as needed. Transfer to WNRC 1 year later. Dispose of when 25 years old.

107. Administrative Subject File - The file reflects internal housekeeping activities of the Office such as time and attendance, budget, personnel, services and the like. Duplicated by Administrative Office files.

Dispose of when 2 years old.

108. Reading Files - These consist of a copy of documents prepared in the Office or its predecessor agency, and filed by date. Dispose of when 10 years old.

109. World Administrative Radio Conference (WARC) Files - The file consists of materials pertaining to NTIA/OTP participation in the WARC, including materials on meetings, background materials for briefings, viewgraphs used in briefings, reports, and other materials documenting NTIA/OTP activities in regard to WARC. Arranged by Conference.

*withdrawn*

Permanent. Retire to SHA after 10 years for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.

110. Briefing Materials - Audio-visual materials, largely viewgraphs, and background materials in three-ring binders used in various briefings undertaken by the Office.

Dispose of when no longer needed for current business.

*Withdrawn*  
111. Spectrum Planning Subcommittee Files - These files reflect the participation of the frequency management activities of this subcommittee, including meeting materials, reports, studies, and background materials. This collection contains the most complete documentation on NTIA/OTP participation in the subcommittee. Arranged by subject and meeting.

Permanent. Retire to SHA when no longer needed for current business for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.

112. Working Papers of Staff Officials - Consist of extra copies of documents, drafts, reference materials, and other working papers maintained for convenience of operations by various staff members of the Office.

Dispose of when no longer needed for current business, or when obsoleted, whichever comes sooner.

#### 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 equipment 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:

<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.

\*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.

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 wavelengths 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 marked 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. Since March 1978 in accordance with Executive Order 12046, IRAC has again reported to the Secretary of Commerce.

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 inter-department 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 1977 and Executive Order 12046 of March 27, 1978, 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 Secretary of Commerce. By Department Organization Order 10-10 May 9, 1978 and Department Organization Order 25-7, May 11, 1978, these and other functions previously assigned to the former Office of Telecommunication Policy were assigned to the newly created Assistant Secretary for Telecommunications and Information and to the National Telecommunications and Information Administration for which that official serves as Administrator.

The mission of the IRAC is to formulate and recommend to the Assistant Secretary 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 Assistant Secretary 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 interagency interests, and

on other questions as may be referred to the Committee from time to time by the Assistant Secretary.

The IRAC has a membership of eighteen 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 NTIA.

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 the 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 Conference 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 increased 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 ground work in preparation for the next international radio conference. FCC agreed to work with the SSFA on those 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

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 has 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.

\*\* 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.

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 radio location 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.

In the Department, the 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 had a substructure of the following subcommittees:

Frequency Assignment Subcommittee

Technical Subcommittee

Spectrum Planning Subcommittee

In addition to these standing subcommittees, Ad Hoc Work Groups were 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 have been well over a hundred of such work groups.

Each of the subcommittees and of the work groups maintains its 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.

The Reorganization Plan Number 1 of 1977, and its implementing Executive Order 12046 of March 27, 1978 basically ended the split of the Federal Government's spectrum management functions between the independent policy body the Office of Telecommunications Policy (OTP) in the Executive Office of the President, and the Office of Telecommunications of the Department of Commerce. The Spectrum Management functions of OTP were transferred to the Department of Commerce with the establishment of a new Assistant Secretary for Telecommunications and Information in that Department, who also serves as Administrator of its National Telecommunications and Information Administration (NTIA). Department Organization Orders 10-10 of May 9, 1978 and 25-7 of May 11, 1978 formalized the transfer of these and other telecommunications functions formerly of the OTP to the Department. In accordance with this organization, IRAC was merged into the Office of Federal Systems and Spectrum Management of the newly created NTIA, which provides the Secretariat functions for IRAC.

#### IRAC Secretariat

113. 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.

114. 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 constitute 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.

Arranged by assigned number.

Permanent. Retire to SHA after microfilming for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.

115. 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, agenda item action or note, meeting date, and similar descriptive statements.



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. Arranged by date.

Permanent. Retire to SHA when no longer needed for current business for transfer to the WNRC. Offer for transfer to the National Archives 20 years thereafter.

116. 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.

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. Arranged by number.

Permanent. Retire to SHA when no longer needed for current business for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.

117. 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 housekeeping 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.

118. Freedom of Information Request Files - Records pertaining to the answering of requests received under the Freedom of Information Act.

a. Request for which access is granted to the documentation - Dispose of when 2 years old.

b. Request involving appeals - Dispose of when 4 years old, or 3 years after final court adjudication, whichever is later.

*after final determination*  
c. Request denying all or part of the information, but not appealed - Dispose of when 5 years old.

#### Frequency Assignment Subcommittee (FAS)

119. 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 390 at present. Arranged by meeting number.

Permanent. Retire to SHA after microfilming for transfer to the WNRC. Offer for transfer to the National Archives 20 years thereafter.

120. Applications for Frequency Assignment Actions - 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.

Dispose of when 6 months old.

121. 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.

122. 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.

123. 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 agency as long as it continues to function. Arranged by number.

a. Registration Books 1952-1966. Permanent. Retire to SHA when no longer needed for current business for transfer to the WNRC. Offer for transfer to the National Archives 20 years thereafter.

b. Computer Printouts of Registrations - Permanent. Retire to SHA along with related minutes of meetings when no longer needed for current business, and transfer to the WNRC. Offer for transfer to the National Archives 20 years thereafter.

124. 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. Arranged by number.

Permanent. Retire to SHA after microfilming for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.

125. 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. Arranged by number.

Permanent. Retire to SHA when no longer needed for current business for transfer to the WNRC. Offer for transfer to the National Archives 20 years thereafter.

126. Administrative Ledger 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. Arranged by number.

Permanent. Retire to SHA when no longer needed for current business for transfer to the WNRC. Offer for transfer to the National Archives 20 years thereafter.

127. 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. Arranged by meeting.

Permanent. Retire to SHA after microfilming for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.

128. 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. Arranged by number.

Permanent. Retire to SHA when no longer needed for current business for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.

129. Microfilm of 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. Arranged by meeting.

Permanent. Retire to SHA after microfilming for transfer to the WNRC. Offer for transfer to the National Archives 20 years thereafter.

130. 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.

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. Arranged by agency.

Permanent. Retire to SHA when no longer needed for current business for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.

130A, 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. Arranged by serial number.

Permanent. Retire to SHA when no longer needed for current business for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.

131. Canadian Frequency Assignment - This is a computer printout of a list of frequency assignment 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.

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

132. 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.

133. 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. Arranged by date.

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 for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.

b. All other copies of the List - Dispose when they have served their purpose.

134. 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. Arranged by date.

Permanent. Retire to SHA when no longer needed for current business for transfer to the WNRC. Offer for transfer to the National Archives 20 years thereafter.

135. 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 others.

136. 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.

137. Agency Frequency Assignment Lists - These list 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.

138. Selected Policy 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. Arranged by subject.

Permanent. Retire to SHA when no longer needed for current business for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.

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

Dispose when 2 years old.

Spectrum Planning Subcommittee

140. *Spectrum Planning Subcommittee Documents File*  
~~System 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 Telecommunication 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. Arranged by assigned subject code number.

Permanent. Retire closed cases to SHA every 3 years for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.

141. Spectrum Planning 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. Arranged by assigned number.

Permanent. Retire to SHA when no longer needed for current business for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.

#### Technical Subcommittee

142. 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 stand point 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 3 Working Groups assigned as follows:  
(1) Standards, (2) Side Effects, and (3) Spectrum Utilization.

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. Arranged by subject.

Permanent. Retire to SHA for transfer to WNRC when no longer needed for current business. Offer for transfer to the National Archives 20 years thereafter.

143. 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.

#### (Printouts)

144. 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.

145. 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.

#### 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, NTIA 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

NTIA 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.

146. Ad Hoc Groups 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 sixty-two 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.

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.

Frequency Assignment and IRAC  
Administration Division  
Office of the Chief

As noted above, the Division provides administrative support for spectrum management activities in NTIA and the IRAC subcommittee. The Executive Secretary, IRAC, also serves as

Chief of the Division. Consequently, the records which he generates as the Division Chief 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

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

This activity screens and processes applications for frequency assignment actions originated by the members of the IRAC, Frequency Assignment Subcommittee and by non-member Government agencies, who are users of radio, and prepares them for computer input.

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.

#### Frequency Assignment Review

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

#### Frequency Allocation Support

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

## Computer Services Division

146A Computer Services Program Subject File - Consists of documents of the Division Director pertaining to the overall management and operations of furnishing computer services in furthering the various NTIA programs involving ADP operations.

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

### Computer Program Development Branch

147 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.

Dispose of when there is a change of computer systems.

148. 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)

149. 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.

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

### (Printouts)

150. 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)

151. Program Punch Cards - These are decks developed by the Institute of Telecommunications Sciences and other agencies that are given to NTIA 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 Branch

152. 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 NTIA 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 estimated 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 and Analysis Division

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.

153. Division Chief's Subject Correspondence File - These consist 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.

154. 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. Arranged by report title.

Permanent. 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 20 years thereafter.

155. 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 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.



156. 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 NTIA. 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 Electronics 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. 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.

157. 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 action, 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.

158. Proposed New Radio Systems Engineering Studies and Supporting Papers - These are the papers collected or generated by the systems review or analysis personnel who review and analyze 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. These persons make 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 these papers have only a limited value for reference to the personnel involved.

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

159. Systems Review and Analysis 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 to review and evaluate proposed new radio systems as well as improved systems and procedures for data management within the Division.

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

Federal Systems Program Office  
Government Communications Program

160. Central Government Communications Subject Files - Consists of the centralized subject files of the Government Communications Office, covering such subjects as teleprocessing, various Federal telecommunications systems, frequency management, and the like.

Retire to SHA in annual consignments, when 5 years old. After 5 years in SHA, transfer to WNRC for 3 additional years, following which, destroy.

Following are files pertaining to particular aspects of the Government Communications program which grew large enough to be separated from the central subject file.

161. NATO Files - Record copies of documents from such groups as NATO Boards and Committees, the U.S. Mission to NATO and also official NATO documents pertaining to government communications and civil emergency planning. Arranged by NATO files code number.

*withdrawn*

Permanent. Retire to SHA when 5 years old, after coordination with the DoC NATO Control Officer, in annual consignments. Transfer to WNRC after 5 years in SHA. Offer for transfer to the National Archives 20 years thereafter.

162. Navigational Files - Documents re communications aspects of various types of radionavigation systems. Included are background papers and studies regarding the overall efficiency of Government-related and Government supported navigation systems and leading to the proposed consolidation of navigation programs.

Retire to SHA when 5 years old, after coordination with OMB. After 2 years in SHA, transfer to WNRC. Destroy after 3 years in WNRC.

163. Warning Files - Classified materials concerning the Government's responsibility to determine how best to warn citizens of attack or emergencies.

Retire to SHA when 5 years old, after coordinating with Federal Emergency Management Agency. Destroy 2 years later.

164. Emergency Preparedness Files - Record copy of classified materials pertaining to communications aspects of Government emergency preparedness, planning and coordination activities. Arranged by subject.

Permanent. Retire to SHA when 5 years old in annual consignments, after coordination with FEMA. Transfer to WNRC after 2 years in SHA. Offer for transfer to the National Archives 20 years thereafter.

*withdrawn*

165. Emergency Broadcast System Files - Materials regarding plans, test, and implementation actions involved in the program for providing the President with capability for addressing the Nation-- on short notice-- regardless of his location, during periods of national emergency.

Offer to transfer to F.E.M.A. after April 1979. If not transferred, retire entire file to SHA in 1982. Destroy after 2 years of SHA storage.

166. Federal Audiovisual Activities Files - Background materials and reports regarding policies and procedures for improving the management of Federal audiovisual activities.

Retire to SHA when 5 years old, in annualized increments, after coordination with OMB. Destroy after 2 years of SHA storage, but not sooner than 2 years after supersession of OMB Circular A-114.

167. Administrative Subject Files - Papers regarding travel, time and attendance of staff, budgeting and funding, chronological files, and other internal housekeeping matters.

Move current-year files forward and destroy each year's file at end of next succeeding fiscal year.

168. Working Files of Individual Staff Members- Documents maintained in the offices of individual staff members covering their various specialties. They contain such materials as extra convenience copies of documents, drafts, reference publications and other working materials.

Dispose of when no longer needed for current business or when obsoleted, whichever comes sooner.

#### Telecommunications Protection Program

169. Telecommunications Protection Program Subject File- Included in the file are materials pertaining to studies and other activities of the office concerning the assigned responsibilities for the telecommunications protection program.

Start a new file every 5 years. Bring forward active materials as needed. Retire to appropriate Departmental storage facilities 1 year later. Dispose of when 30 years old.

170. Administrative Subject File - Consists of office copies of documents pertaining to such internal housekeeping activities as time and attendance, travel, budget, personnel, requisitions for supplies and services and similar housekeeping matters.

Dispose of when 2 years old.

171. Chronological File - Extra copies of documents prepared or signed in the office and maintained in date order.

Dispose of when 3 years old.

172. Working Files of Telecommunications Specialists - Extra copies of documents, drafts, working papers, and reference materials maintained by individual staff members to facilitate program operations.

Dispose of when superseded or no longer needed for current business, whichever comes sooner.

173. NATO Files - Reflect the relationship of predecessor agencies and the office with NATO pertaining to telecommunications activities affecting NATO. These were basically copies maintained for convenience of operations.

a. Formal NATO documents received - Return to subregistry from which they are received when no longer needed for current business.

b. Other documents, such as reports, correspondence, cable, and administrative papers. Dispose of when no longer needed for current business or when superseded, whichever comes sooner.

174. Emergency Preparedness Files - Papers, such as correspondence, proposals, plans, comments, and drafts, reflecting the work of a predecessor agency and the office in considering telecommunications aspects of various emergency preparedness activities. These were basically copies maintained for convenience of operations.

Dispose of when superseded or no longer needed for current business, whichever comes sooner.

## 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.

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 run 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 NDFC, primarily at the Radiation Laboratory at MIT.

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-



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

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-

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 program, property, personnel and fiscal resources was transferred to OT at that time. The ITS was transferred to the newly established National Telecommunications and Information Administration in 1978 along with other organizational segments of OT. NTIA was established in the Department of Commerce in accordance with Reorganization Plan No. 1, of 1977, the implementing Executive Order 12046, March 27, 1978, "Relating to the Transfer of Telecommunications Functions," and Department Organization Order 25-7, May 11, 1978, "National Telecommunications and Information Administration." The ITS serves as the central Federal Agency for research on the transmission of radio waves, and it 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 telecommunications 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,
- 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 Office of Federal Systems and Spectrum Management of NTIA 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 man 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, on 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

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.

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

## OFFICE OF THE DIRECTOR

The Director, ITS, is responsible for all programs, projects and other activities of the Institute. He reports directly to the Assistant Secretary for Communications and Information 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.

175. 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.



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.

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.

176. 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. Publications arranged by title, and speeches, chronologically.

*see revised disposition P. 88A*  
~~Permanent. 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 10 years thereafter.~~

177. 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.

178. 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)

## Request for Records Disposition Authority - Continuation

JOB NO.

PAGE OF

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
176.	<p>A. Publications.</p> <p>Permanent. When no longer needed for current business place in inactive file. Transfer to FRC if volume warrants. Offer to NARS when 10 years old.</p> <p>B. Speeches with related slides and exhibits.</p> <p>Permanent. When no longer needed for current business place in inactive file. Transfer to FRC if volume warrants. Offer to NARS when 10 years old.</p>		

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.

179 . 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.

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.

130. 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.

181. 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.

Dispose of individual sheets when all items on it have been checked and dropped from the inventory.

182. 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.

#### Deputy Director

183. 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.

184. 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.

185. 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.

#### Consultants to the Director

186. 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-

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 subject-field record copy of these papers and they are not available elsewhere.

Permanent. Transfer to FARC when no longer needed for purposes of current business and offer to the National Archive 10 years thereafter.

#### Budget and Accounting Officer (Administration)

The Budget and Accounting Officer replaced the former Executive Officer and 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 NTIA and the Department.
- 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.



- 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 Officer exercises essentially final management authority for the former group.

127. 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 Budget and Accounting Officer, to fill the void in property management data which occurred when ITS was taken out of ESSA.

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),

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.

188. 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.

189. 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.

190. 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.

191. 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.

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

Dispose when 3 years old.

193. Committees and Boards - These are the papers either generated or collected by the 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. Arranged alphabetically by Committee.

Permanent. Transfer to the FARC when no longer needed for current business and offer for transfer to the National Archives 10 years thereafter.

194. Manpower Utilization Committee (MUC) - The Officer has served 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. Arranged by date.

Permanent. Incumbent transfer the file to his successor or the Chairman of the Committee. Holder shall transfer residual files in his possession to FARC when no longer needed for current business. Offer for transfer to the National Archives 10 years thereafter.

195. 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 - Destroy when 30 years old.

196. 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.

197. Personnel Administration File - This contains the papers generated or collected by the 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.

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.

198. Briefings, Conferences and Meetings File - These are the papers created by the 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. Arranged by meeting.

a. Membership Papers - Permanent. 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 10 years thereafter.

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

199. 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.

200. Reports File - This contains copies of production reports, and program reports, which the 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.

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 Officer's jurisdiction.

Dispose when 3 years old.

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

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.

202. 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 employees or for some other reason.

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

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

Dispose when 3 years old.

204. 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.

205. 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.

206. Project Case Folders- 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.

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

Permanent. Move actives 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 10 years thereafter.

207. 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.



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.

208. 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.

209. 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.

210. Reserved.

211. 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.

212. 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.

213. Technical Reference Files - This contains copies of ITS, NTIA, 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)

214. 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.

215. 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.

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.

216. 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.

217. 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.

218. 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.

219. Financial Management Files - This file contains copies of all action papers and related supporting documentation generated by the 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 Program Evaluation, 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 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 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 NTIA, 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 measure 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 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 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 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 Officer, or its equivalent. Review all files at least once a year and move forward 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.

220. 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 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.

Public and Technical Information  
Officer (BOULDER )

The Public and Technical Information Officer (PTIO) is a member of the staff of the Administrator, NTIA 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 newsletter for employees of the ITS,
- 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.

221. Record Set of Publications - This consists of one copy of each publication issued by ITS including Technical Memorandums and Technical Reports, the newsletter and other items.

Technical Memorandums are interim or preliminary reports on various stages of a program or project while it is still in progress.

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. Arranged by publication title.

Permanent. Transfer to FARC when no longer needed for current business and offer to the National Archives 10 years thereafter.

222. 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. Arranged by number.

- a. Printed Copy - Permanent (one copy each) as a record set and transfer to FARC when no longer needed for current business. Offer to the National Archives 10 years thereafter.
- b. Supporting Papers - Dispose when 3 years old.

223. 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. Arranged by author name.

~~Permanent. Transfer to FARC when no longer needed for purposes of current business and offer for transfer to the National Archives 10 years thereafter.~~

*Dispose of when no longer needed  
for current business.*



224. Printer's Media (e.g., Negatives, Photos) - 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.

225. Photo File of Field Sites and of Certain Equipment - These are photographic prints showing various views of field sites and of certain notable items of equipment. These are produced and collected for purposes of publication, and appear to have only a short term value.

*see revised disposition P. 110A*

~~Dispose of individual documents when the installation or use of the equipment has been discontinued.~~

226. 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, NTIA and ITS staffs. Greater emphasis is placed on the ITS staff.

Dispose of individual documents when superseded or have otherwise served their purpose.

227. 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 NTIA and other papers relating to distribution, costs, and

**Request for Records Disposition Authority—Continuation**

JOB NO.

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
225.	Permanent. When installation or use of equipment has been discontinued, place the related photographic prints in the inactive file. Offer to NARS when 5 years old.		

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 NTIA.
- 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.

228. 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.

229. 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.

230. 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:

- o General NTIA 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 NTIA.
- 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.

231. 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.

232. 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.

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.

## 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:

- 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

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
  - Inonospheric Warning Service

#### Office of the Associate Director

233. 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



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.

234. 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.

235. 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.

236. 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.

237. 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.

238. 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.

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

239. 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.

240. 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.

241. 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.

242. 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.

243. 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.

244. 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)

245. 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.

246. 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.

## Telecommunications Service Center

### Ionospheric Forecaster

247. 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.

248. 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.

249 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 and arranged by date.

- a. Current Forecasts - Dispose when they have served their purpose.
- b. Predecessor Forecasts - Permanent. Transfer to FARC when no longer needed for current business and offer to the National Archives 10 years later.

250. 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.

251. 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.

252. 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.

253. 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.

254. 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.

255. General Subject Correspondence File - This contains copies of incoming and outgoing correspondence generated

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.

256. 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.

257. 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.

258. 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)

259. Computer Programs - These are printouts of the program commands to the computer to select and process input data on the solar and geophysical conditions.



Dispose when superseded or when the program is dropped.

260. 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.

261. 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.

### 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.

262. 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.

263. 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.

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.

264. 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.

265. 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.

266. Chronological File - This contains a copy of each outgoing item of correspondence produced by the Group and project leaders.

Dispose when 2 years old.

267. IRAC Papers - These are copies of IRAC documents collected for use as a worktool.

Dispose of individual documents when they have served their purpose.

268. Weekly Forecast Mailing List - This is a list of designated recipients of the Forecast.

Dispose when superseded.

269. 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.

270. 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.

271. 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.

272. 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.

273. 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.

274. 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.

275. 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.

276. 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.

277. 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.

278. 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)

279. 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)

280. 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.

281. Intermediate Program Tapes - These are program tapes that are subject to periodic revision or replacement.

Scratch when superseded or when no longer needed.

282. 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 value. Tapes replaced by the latest edited version scratch when the edited version has been checked and accepted.
- b. Last Edition Tapes - Transfer to FARC when no longer needed for current business and dispose 15 years thereafter.

(Printouts)

283. 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.

284. 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.

285. Program Printouts - These are the usual computer commands on antenna performance data transcribed from paper tapes described above.

Transfer to FARC in mutually agreeable consignments and dispose 15 years thereafter.

286. 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)

287. 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.

## 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, microwave 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.

- 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

288. 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 NTIA. 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. Filed by conference date.

Permanent. Transfer to successor or to FARC and offer for transfer to the National Archives 10 years thereafter.

289. 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.

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

290. 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.

291. IRAC Standards Working Group - 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.

292. 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.

293. 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.

294. 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.



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.

295. 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.

296. 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.

297. 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.

Dispose when the proposal is dropped from the proposal list and is no longer being considered for acceptance.

298. 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.

### 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

299. 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.

300. 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.

301. 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

302. Authors Manuscripts - These are copies of mostly published authors manuscripts.

Dispose when 5 years old, or when published whichever is sooner.

303. 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.

304. 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.

305. 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.

306. 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.

307. 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.

308. 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.

309. 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.

310. 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.

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)

311. 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.

Transfer to FARC when no longer needed for current business, and dispose 15 years thereafter.

312. 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.

313. 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.

314. 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.

315. 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.

316. 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.

317. 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)

318. 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.



319. 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.

320. 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.

321. 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.

322. 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)

323. Program Punch Cards - These are cards produced to facilitate editing or revising the subject program.

Dispose after the related system is installed and accepted.

324. 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 - Transfer to FARC when no longer needed for current business and dispose 20 years thereafter.
- b. All Others - Dispose when superseded or when 15 years old.

325. 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)

326. 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.

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.

### 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

327. 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.

328. 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.

329. 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.



This file would therefore, appear to have no value beyond the separation of the subject consultant.

Dispose upon separation of the consultant.

330. 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.

331. 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.

332. 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.

333. 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.

334. 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.

335. 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

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 NTIA/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.

336. 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.

337. 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.

338. 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.

339. Building Passes Register - This office is responsible for issuing NTIA 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.

340. 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).

341. 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.

342. 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.

343. 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.

Dispose 5 years after separation of subject employee.

344. Classified Document Control Register Exclusive of TS Documents - This is a log for each classified document held or sent out by NTIA/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.

345. 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.

346. 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, is attached to the ribbon copy of the Classified Material Receipt and then filed alphabetically under the name of the person receiving the material.

a. Destroy when 2 years old.

b. Receipts for Material Mailed Out to Other Agencies or Outside Persons - Dispose when 3 years old.

347. Report of Destruction of Classified Material Including TS Documents - This report shows the name of the custodian and his organizational 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.

347A. Safe Report - This is a report of all safe files in use in NTIA/TTS for storage of classified material. This gives the name of the persons charged with the safe, his address and telephone number.

Dispose when superseded.

347B. Incoming Classified Visit Authorizations Exclusive of TS Security Areas - This contains applications for authority to visit NTIA/TTS 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.

Dispose of individual documents when the authorization granted has expired or otherwise disposed of.

347C. 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.

347D. 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.

348. 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.

349. 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.

350. 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.

351. 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)

352. 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.

353. 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.

354. 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.

355. 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.

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

356. 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.

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.
- b. Selected Unique Project Case Files Identified in Accordance with Criteria Established by Group Leaders and arranged by number. - Permanent. Transfer to FARC in mutually agreeable consignments and offer for transfer to the National Archives 10 years later.

357. 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.

358. 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 proposals papers to the record copy of the Project Case File.

- b. Unestablished Projects, Proposal Papers - Dispose when 5 years old or when they have served their purpose, whichever is sooner.

359. 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 arranged alphabetically by title-Permanent. 1 copy in proper security equipment for ultimate inclusion in the record set maintained by the PTIO.

360. 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.

361. 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.

## Project Leaders

362 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.

363 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

any one 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.

364. 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.

365. 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.

- 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.

366. 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.

367. 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.

368. 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.

(Magnetic Tapes)

369. Master Input and Output Tape or Equivalent - These are the master input and output tapes or equivalent containing data used to produce the project final report. These tapes contain data for generating new scientific projects as well as the information needed to verify the findings in the final report.

Transfer to FARC when no longer needed for current business, and dispose 15 years thereafter.

370. 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.

371. 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)

372. 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.



373. 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)

374. 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 - Transfer to FARC when no longer needed for current business and dispose 20 years thereafter.
- b. All Others - Dispose when superseded or when 15 years old.

375. 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.

(Property Liaison Officer)

This official serves as the Property Officer for the Group, but his records are essentially duplicated by those of the ITS Property Management Officer, the Executive Officer.

376. 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.

## 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 NTIA.

37.7 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) 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.

(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.

378. 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 combinations, 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.

379. "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.

380. 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.

381. Directives - These are work copies of printed and processed Departmental Orders, NTIA issuances, OMB bulletins and circulars, GAO regulations, and similar authoritative issuances governing current operations.

Dispose of individual documents when revoked, superseded, or no longer applicable to the office or unit concerned.

382 . 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.