

ASSISTANT SECRETARY OF DEFENSE
(COMMUNICATIONS COMMAND CONTROL AND INTELLIGENCE)

The Office of the Assistant Secretary of Defense (Communications, Command and Intelligence) (ASD(C³I)) provided the attached documents to the Carter-Reagan Transition Team. The releasable segregable portions of the document are attached. The withheld portion of the document has been reviewed with the determination that it is currently and properly classified within the meaning of Executive Order 12065 and denied under 5 USC 552(b)(1). Further, the denied information contains the opinions, recommendations and conclusions of various staff officers and the unauthorized release of their comments could inhibit the free flow of information and ideas between subordinates and superiors and severely inhibit the decision-making process. This information is therefore denied under 5 USC 552 (b)(5).

The Initial Denial Authority is Mr. Laurin Knutson, Director Program Control and Administrator, Office of the Under Secretary of Defense for Research and Engineering.

Assistant Secretary of Defense (Communications, Command, Control
and Intelligence)

(704)
FILE

and

Principal Deputy Assistant Secretary of Defense (Communications, Command,
Control and Intelligence)

Organization and Functions

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Assistant Secretary of Defense (C³I)
and
Principal Deputy ASD(C³I)

Introduction and Overview

The Assistant Secretary of Defense (C³I) is responsible to the Secretary of Defense for the DoD's communications, command, control, and intelligence programs. In addition, the ASD(C³I) serves as the principal deputy to the Under Secretary of Defense, Research and Engineering. At Tab B is the Department of Defense Directory Chart showing the place of the ASD(C³I)/PDUSD (R&E) in the organization.

The combination of C³ and Intelligence functions under a single assistant secretary was new with this administration. Previously, there was an assistant secretary for intelligence and a director of Defense Telecommunications and Command and Control Systems (DTACCS). To reduce the number of people reporting directly to the Secretary of Defense, the ASD(C³I) was placed under the Under Secretary of Defense, Research and Engineering, and made his principal deputy as well. As a result, three positions were combined into one. The DOD Directive 5137.1 at Tab C lists the specific responsibilities and functions of the ASD(C³I).

There is another position in the Office of the Secretary of Defense with responsibility for communications, command, control and intelligence - the Deputy Under Secretary of Defense (Policy Review) in the Office of the Under Secretary of Defense for Policy. Under DOD Directive 5130.2, the DUSD(PR) is responsible for Defense policy as it relates to C³ and intelligence analysis, requirements, and priorities. (The original DOD Directive and a draft up-dated one are at Tab D.) The intent of having two organizations at the OSD level involved in the same area was to differentiate between the responsibility for establishing policy/requirements and for developing and implementing the programs evolving from the policies/requirements. In practice there has been a smooth working relationship between ASD(C³I) and DUSD(PR) helped by the fact that the differentiation mentioned above was flexible.

The Office of the ASD(C³I) is organized with a principal deputy, four other deputies, and eleven directors as shown at Tab E. The C³I programs are managed by mission area, e.g., Strategic C³, rather than by functional areas, e.g., communications. A listing of these mission areas is also given at Tab E and a detailed discussion of them is given in the program books.

The organization and function descriptions of the Principal Deputy and four other deputies are at Tab F; the duties of the directors at Tab G. The entire office of the ASD(C³I) is authorized a total of 84 people, 69 civilians and 15 military. All but two of these positions are filled or in process of being filled. A roster of all the people is at Tab H. Listed on the roster are seven additional people on loan from other agencies and organizations.

The two program books are designed to present a coherent view of the entire C³I program. To carry out our presently required program will require \$11.3 billion in FY 81 and about \$13.0 billion in FY 82 as shown in Tab I. The numbers in the chart do not reflect the final Congressional action on the FY 81 appropriation bill passed on December 5, 1980. The numbers for FY 82 and FY 82-86 are based on the budgets submitted by the Services and Agencies.

One of the major tasks of the ASD(C³I) is testifying before Congress in support of the C³I programs. Normally there are six hearings; the authorization, appropriations and intelligence committees/subcommittees of both the Senate and the House. A list of the Congressional Chairmen and contacts for these committees is listed at Tab J.

In addition to extensive involvement with Congress, the ASD(C³I) and his principal deputy are involved with numerous other committees, councils and organizations within and without DoD. The list at Tab K shows the major ones which are reasonably current and expected to continue.



March 11, 1977
NUMBER 5137.1

ASD(C)

Department of Defense Directive

SUBJECT Assistant Secretary of Defense (Communications, Command, Control, and Intelligence)

- References:
- (a) Title 10, United States Code, 133 and 136
 - (b) DoD Directive 5135.1, "Director, Telecommunications and Command and Control Systems," January 17, 1974 (hereby cancelled)
 - (c) DoD Directive 5115.1, "Assistant Secretary of Defense (Intelligence/Director of Defense Intelligence)," July 20, 1976 (hereby cancelled)
 - (d) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976

I. PURPOSE

Pursuant to the authority vested in the Secretary of Defense under the provisions of reference (a), one of the positions of Assistant Secretary of Defense is designated the Assistant Secretary of Defense (Communications, Command, Control, and Intelligence) (hereinafter "the ASD(C³ I)"), with responsibilities, functions, and authorities as prescribed herein.

II. CANCELLATIONS

References (b) and (c) are hereby cancelled.

III. RESPONSIBILITIES

The ASD(C³ I) is the principal staff assistant to the Secretary of Defense for DoD telecommunications, command and control, and intelligence resources (including related warning and reconnaissance activities). He also serves as principal staff assistant in carrying out the Secretary of Defense's responsibilities as Executive Agent of the National Communications System (NCS). For each of his assigned areas he shall:

- A. Provide advice, make recommendations, and issue guidance on DoD plans, programs, and fiscal activities.

- B. Develop policies, systems and standards for the administration and management of approved plans and programs.
- C. Initiate and review programs for carrying out approved policies.
- D. Review the quality and timeliness of products and their effectiveness for users.
- E. In conjunction with the ASD (Comptroller), review proposed programs and the resources required to implement them, formulate budget estimates, and recommend resource allocations.
- F. Monitor the implementation of approved programs, cooperation, and mutual understanding between the other Federal agencies.
- G. Participate in those planning, programming, and budgeting activities which relate to ASD(C³ I) responsibilities.
- H. Exercise, subject to the direction of Director of Defense Research and Engineering, the latter's direction, authority and control over all research and development matters related to communications, command, control, and intelligence.
- I. Exercise direction, authority, and control over all DoD actions to allocate resources for intelligence activities, except those organic to combatant forces and those intelligence support activities specifically delegated to the Joint Chiefs of Staff. Authority over the intelligence activities of the Military Departments will be exercised through the Secretary of the Military Department concerned.
- J. Serve on boards, committees, and other groups pertaining to his functional areas.
- K. Perform such other duties as the Secretary of Defense may from time to time prescribe.

IV. FUNCTIONS

The ASD(C³ I) shall carry out the responsibilities described in section III. in the following areas:

- A. Facilities, equipment, systems, and resources.
- B. Satellite activities.
- C. Command and Control Systems, including the World-Wide Military Command and Control System (WWMCCS).
- D. Telecommunications.

- E. Application and integration of ADP technology.
- F. National Communications System.
- G. Surveillance, warning, and reconnaissance related to communications, command and control or intelligence.
- H. Integration of national and tactical communications, command and control, and intelligence.
- I. Intelligence collection and processing.
- J. Communications Security (COMSEC).
- K. Electronic Counter-Countermeasures (ECCM).
- L. Such other areas as the Secretary of Defense may from time to time prescribe.
- M. Exclusions:
 - 1. Operational direction of communications, command, control, and intelligence.
 - 2. Telecommunications and command and control systems integral to weapons systems designed for, and usually delivered with, and as part of an aircraft, missile complex, ship, tank, etc., the costs of which are normally included in the cost of the weapons systems.

V. ORGANIZATION AND MANAGEMENT ARRANGEMENTS

- A. The ASD(C³ I) may be assisted by such deputies as he shall appoint with the approval of the Secretary of Defense.
- B. The ASD(C³ I) shall provide technical guidance to the World-Wide Military Command and Control System (WWMCCS), Engineer, Joint Tactical Communications Office (TRI-TAC), and Electromagnetic Compatibility Analysis Center (ECAC).

VI. RELATIONSHIPS

- A. In the performance of his duties, the ASD(C³ I) shall:
 - 1. Coordinate and exchange information with other DoD organizations having collateral or related functions.
 - 2. Use existing facilities and services, whenever practicable, to achieve maximum efficiency and economy.
- B. All DoD organizations shall coordinate all matters concerning the functions cited in section IV. with the ASD(C³ I).

VII. AUTHORITIES . . .

The ASD(C³ I) is hereby delegated authority to:

- A. Issue instructions and one-time directive-type memoranda which carry out policies approved by the Secretary of Defense, in his assigned fields of responsibility. Instructions issued to the Military Departments will be issued through the Secretaries of those Departments or their designees. Instructions to Unified or Specified Commands will be issued through the Joint Chiefs of Staff.
- B. Obtain such reports, information and assistance, consistent with the policies and criteria of DoD Directive 5000.19 (reference (d)), as he deems necessary.
- C. Communicate directly with the heads of DoD component organizations, including the Secretaries of the Military Departments, the Joint Chiefs of Staff, the Directors of Defense Agencies and, through the Joint Chiefs of Staff, the Commanders of Unified or Specified Commands.
- D. Establish arrangements for DoD participation in those non-defense governmental programs for which he has been assigned primary cognizance.
- E. Communicate with other government agencies, representatives of the legislative branch, and members of the public, as appropriate, in carrying out assigned functions.

VIII. EFFECTIVE DATE

This Directive is effective immediately.

Harold Brown

Secretary of Defense

Out of date

June 16, 1977
NUMBER 5130.2



ASD(C)

Department of Defense Directive

SUBJECT Director of Policy Review

Reference: (a) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976

A. PURPOSE

Pursuant to the authority vested in the Secretary of Defense under the provisions of Title 10, United States Code, the position of Director of Policy Review is hereby established with responsibilities, functions, and authorities as prescribed herein.

B. RESPONSIBILITIES

The Director of Policy Review is the principal staff assistant to the Secretary of Defense for Defense policy as it relates to communications and intelligence analysis, requirements and priorities, as well as other policy matters as determined by the Secretary of Defense. For each of his assigned areas the Director shall:

1. Develop Department of Defense communications and intelligence policy and means to verify response to policy.
2. Confirm requirements for research, development and systems acquisition for intelligence analysis and production, intelligence collection and communications.
3. In accordance with existing guidelines determine priorities for Defense intelligence collection and establish guidelines for the assembly, integration and validation of all Defense intelligence requirements.
4. Exercise staff supervision on policy matters over the Defense Intelligence Agency, the National Security Agency, the Defense Mapping Agency, the Defense Communications Agency, Air Force and Navy special intelligence programs, Defense communications and intelligence functions retained by the

Military Departments, and, in conjunction with the Assistant Secretary of Defense (Comptroller), the Defense Investigative Service.

5. Provide staff support for the Defense Intelligence Advisory Board.
6. Conduct liaison with the Joint Staff and Unified and Specified Commands on policy matters related to his areas of responsibility.
7. Develop Department of Defense policy and requirements for use of space for matters related to his areas of responsibility.
8. Provide to the Assistant Secretary of Defense (Communications, Command, Control and Intelligence) requirements for intelligence and communications programs.
9. Oversee Department of Defense participation in sensitive intelligence matters, including contracts or arrangements with other countries; cooperate with the Assistant Secretary of Defense (International Security Affairs) with respect to review of intelligence matters related to the Special Coordinating Committee (Intelligence).
10. Provide policy guidance, oversight, and coordination for intelligence-related programs and issues.
11. Participate in studies and analyses involving communications or intelligence policy matters and other matters as directed by the Secretary of Defense.
12. Serve on boards, committees, and other groups pertaining to his functional areas.
13. Perform such other duties as the Secretary of Defense may from time to time prescribe.

C. FUNCTIONS

The Director of Policy Review shall carry out the responsibilities described in section B. in the following areas:

1. Intelligence planning, policy and requirements.
2. Communications planning, policy and requirements.
3. Requirements for intelligence production, research, development, and systems acquisition.
4. Intelligence collection and analysis requirements and priorities.
5. Consolidated Defense Intelligence Program.

6. National and tactical intelligence.
7. Counterintelligence and security policy.
8. Mapping, charting and geodesy.
9. Sensitive intelligence (HUMINT and TECHNICAL).
10. Liaison with users.
11. Such other areas as the Secretary of Defense may from time to time prescribe.

D. RELATIONSHIPS

1. In the performance of his duties, the Director of Policy Review shall:
 - a. Coordinate and exchange information with other DoD organizations having collateral or related functions.
 - b. Use existing facilities and services whenever practicable to achieve maximum efficiency and economy.
2. All DoD organizations shall coordinate all matters concerning the responsibilities cited in section B. with the Director of Policy Review.

E. AUTHORITIES


The Director of Policy Review is hereby delegated authority to:

1. Issue instructions and one-time directive-type memoranda which carry out policies approved by the Secretary of Defense, in his assigned fields of responsibility. Instructions issued to the Military Departments will be issued through the Secretaries of those Departments or their designees. Instructions to Unified or Specified Commands will be issued through the Joint Chiefs of Staff.
2. Obtain such reports, information and assistance, consistent with the policies and criteria of DoD Directive 5000.19, as he deems necessary.
3. Communicate directly with the heads of DoD organizations, including the Secretaries of the Military Departments, the Joint Chiefs of Staff, the Directors of Defense Agencies and, through the Joint Chiefs of Staff, the Commanders of Unified and Specified Commands.

4. Communicate with other government agencies, representatives of the legislative branch, and members of the public, as appropriate, in carrying out assigned functions.

F. EFFECTIVE DATE

This Directive is effective immediately.


Deputy Secretary of Defense



Department of Defense Directive

SUBJECT Deputy Under Secretary for Policy Review

Reference: (a) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976

A. PURPOSE

Pursuant to the authority vested in the Secretary of Defense under the provisions of Title 10, United States Code, the position of Deputy Under Secretary for Policy Review is hereby established with responsibilities, functions, and authorities as prescribed herein.

B. RESPONSIBILITIES

The Deputy Under Secretary for Policy Review is the principal staff assistant to the Secretary of Defense for Defense policy as it relates to command, control and communications (C3) and intelligence analysis, requirements and priorities, as well as other policy matters as determined by the Secretary of Defense. For each of his assigned areas the Deputy Under Secretary shall:

1. Develop Department of Defense C3 and intelligence policy and means to verify response to policy.
2. Advise and assist the Secretary of Defense on matters concerned with the integration of Departmental C3 and intelligence plans and policies with overall national security objectives.
3. Represent the Department of Defense as directed in C3 and intelligence matters involving the National Security Council, the Department of State, the Intelligence Community, and other departments, agencies, and interagency groups in the national security area.
4. Review and confirm requirements for research, development and systems acquisition for intelligence analysis and production, intelligence collection and communications.
5. In accordance with existing guidelines determine priorities for Defense intelligence collection and establish guidelines for the assembly, integration and validation of all Defense intelligence requirements.

6. Exercise staff supervision on policy matters over the Defense Intelligence Agency, the National Security Agency, the Defense Mapping Agency, the Defense Communications Agency, Air Force and Navy special intelligence programs, Defense communications and intelligence functions retained by the Military Departments, and, in conjunction with Assistant Secretary of Defense (Comptroller), the Defense Investigative Service.
7. Establish priorities for Department of Defense C3 and intelligence requirements. Recommend priorities for C3 and intelligence programs to the Defense Resources Board, Assistant Secretary of Defense (C3I), and the National Foreign Intelligence Board.
8. Review C3 and intelligence programs and systems to determine compliance with Department of Defense policy and requirements.
9. Provide staff support for the Defense Intelligence Advisory Board.
10. Conduct liaison with the Joint Staff and Unified and Specified Commands on policy matters related to his areas of responsibility.
11. Develop Department of Defense policy and requirements for use of space for matters related to his areas of responsibility.
12. Provide to the Assistant Secretary of Defense (Communications, Command, Control and Intelligence) requirements for intelligence and C3 programs.

13. Oversee Department of Defense participation in sensitive intelligence matters, including contracts or arrangements with other countries; cooperate with the Assistant Secretary of Defense (International Security Affairs) with respect to review of intelligence matters related to the Special Coordinating Committee (Intelligence).

14. Provide policy guidance, oversight, and coordination for intelligence-related programs and issues.

15. Participate in studies and analyses involving C3 or intelligence policy matters and other matters as directed by the Secretary of Defense.

16. Serve on boards, committees, and other groups pertaining to his functional areas.

17. Perform such other duties as the Secretary of Defense may from time to time prescribe.

C. FUNCTIONS

The Deputy Under Secretary for Policy Review shall carry out the responsibilities described in section B. in the following areas:

1. Intelligence planning, policy and requirements.

2. C3 planning, policy and requirements.
3. Requirements for intelligence production, research, development, and systems acquisition.
4. Intelligence collection and analysis requirements and priorities.
5. Consolidated Defense Intelligence Program.
6. Electronic Warfare and C3 Countermeasures
7. National and tactical intelligence
8. Counterintelligence and security policy.
9. Mapping, charting and geodesy.
10. Sensitive intelligence (HUMINT and TECHNICAL).
11. Liaison with users.
12. Such other areas as the Secretary of Defense may from time to time prescribe.

D. RELATIONSHIPS

1. In the performance of his duties, the Deputy Under Secretary for Policy Review shall:

a. Coordinate and exchange information with other DoD organizations having collateral or related functions.

b. Use existing facilities and services whenever practicable to achieve maximum efficiency and economy.

2. All DoD organizations shall coordinate all matters concerning the responsibilities cited in section B. with the Deputy Under Secretary for Policy Review.

E. AUTHORITIES

The Deputy Under Secretary for Policy Review is hereby delegated authority to:

1. Issue instructions and one-time directive-type memoranda which carry out policies approved by the Secretary of Defense, in his assigned fields of responsibility. Instructions issued to the Military Departments will be issued through the Secretaries of those Departments or their designees. Instructions to Unified or Specified Commands will be issued through the Joint Chiefs of Staff.

2. Obtain such reports, information and assistance, consistent with the policies and criteria of DoD Directive 5000.19, as he deems necessary.

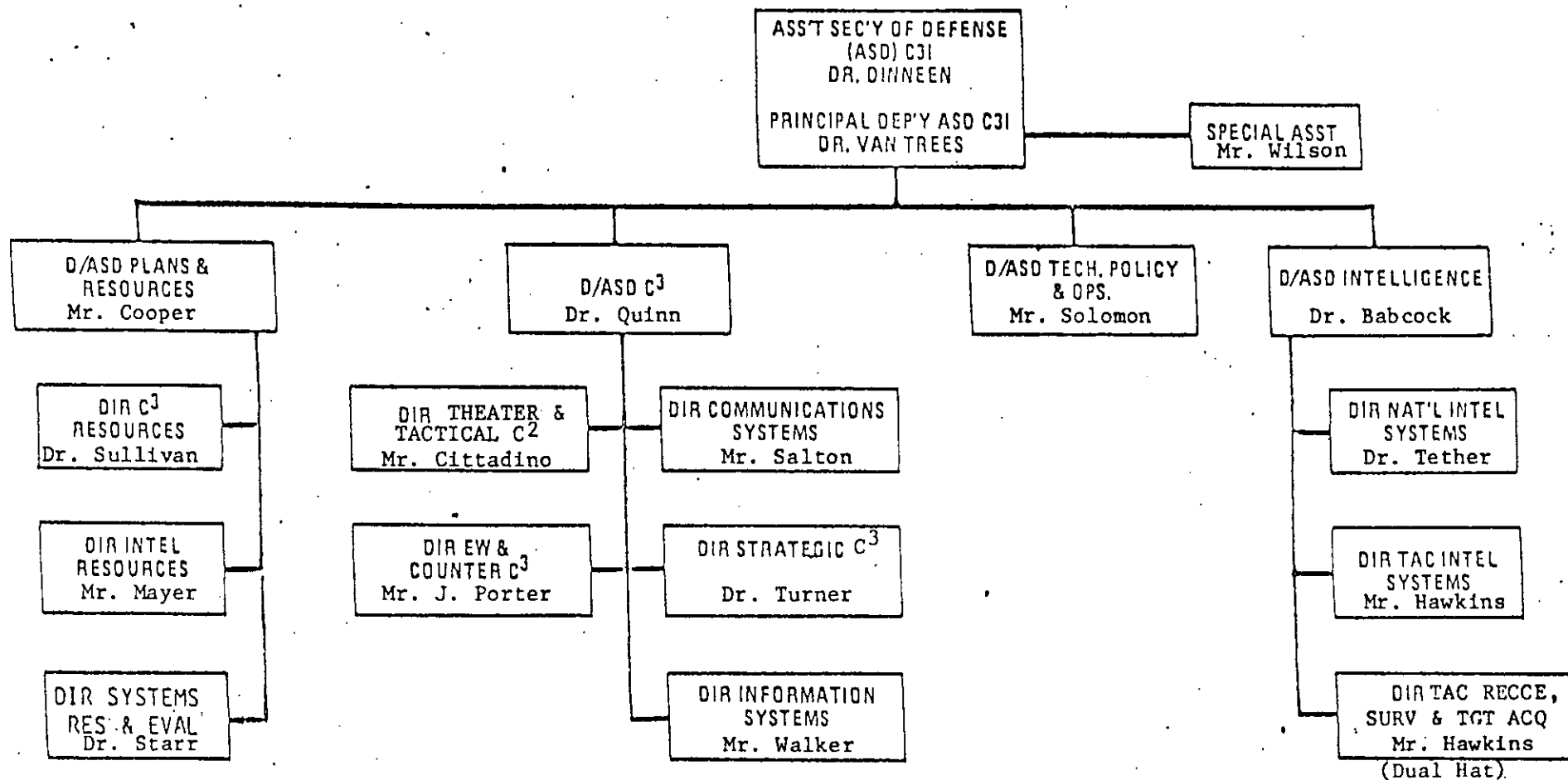
3. Communicate directly with the heads of DoD organizations, including the Secretaries of the Military Departments, the Joint Chiefs of Staff, the Directors of Defense Agencies and, through the Joint Chiefs of Staff, the Commanders of Unified and Specified Commands.

4. Communicate with other government agencies, representatives of the legislative branch, and members of the public, as appropriate, in carrying out assigned functions.

F. EFFECTIVE DATE

This Directive is effective immediately.

OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE
 COMMUNICATIONS, COMMAND, CONTROL AND INTELLIGENCE



As of 18 Nov 80

C³I Mission Areas

Responsible
DASD

Responsible Director

130 Strategic C³I

Turner

QUINN

131 Strategic C²

Turner

132 Strategic S&W

Frishett

133 Strategic Comm

Turner

134 Strategic Info Systems

Walker

QUINN 250 Theater & Tactical C³I

Cittadino

251 Theater C²

Cittadino

252 Theater S & Recce

Hawkins

254 Tactical C²

Cittadino

255 Tactical Surv, Recce & Tgt Acq

Hawkins

256 Tactical Comm

Salton

257 EW & CC³

Porter

CK 310 Consolidated Defense Intelligence

Tether

BABCOCK

311-314 NFIP

Tether

315 Cmd Spt Intell

Hawkins

316 Other Intell

Hawkins

QUINN 320 Defense-wide C³I Support

Salton

321 Nav & Pos Fixing

Cittadino

322 Spt & Base Comm

Salton

323 Common User Comm

Salton

324 ComSec

Salton

325 Other C³I Spt (Spectrum Mgmt, Arch. Spt & Eval, Info Processing)

BABCOCK 420 Global Mil Env Spt (DMSP only)

Hawkins

Principal Deputy Asst Secy Defense (C³I)

Organization

This position is located in the Immediate Office of the Assistant Secretary of Defense (Communications, Command, Control, and Intelligence). The incumbent serves as the Principal Deputy Assistant Secretary of Defense (C³I).

Incumbent works closely with the Assistant Secretary of Defense (C³I) in providing support to the Secretary of Defense for DoD Telecommunications, Command and Control, and Intelligence resources (including related warning and reconnaissance activities). He serves to support the Secretary of Defense in the execution of his responsibilities as Executive Agent of the National Communications System (NCS). On behalf of the Assistant Secretary, the Principal Deputy guides the performance of the internal DASD(C³I) organization in executing its day-to-day responsibilities.

Functions

As Principal Deputy, the incumbent serves as alter-ego to the Assistant Secretary in providing policy guidance and technical direction to the DASD(C³I) Staff in providing advice and recommendations on DoD plans, programs, and fiscal activities within area of responsibility. This includes the development of policies, systems, and standards for the administration and management of research, development, and acquisition of command and control and intelligence systems. The incumbent furnishes policy guidance and technical direction in the establishment of major C³ and intelligence programs; takes executive action on internal management matters; reviews proposed reserve programs, recommending resource allocations and evaluating systems performance as appropriate. Substitutes for the ASD(C³I) in the

presentation and justification of programs to congressional committees, at various departmental and interdepartmental committee meetings and conferences, and at international forums as an expert spokesman for the Department of Defense.

Works closely with the ASD(C3I) in planning the C³ and intelligence program in order to provide the Secretary of Defense with the most meaningful and relevant recommendations on major systems development requirements and attendant program and resource implications.

Exercises direction, authority, and control over all DoD actions to allocate resources for intelligence activities (except those organic to combat forces and other activities specifically delegated to the Joint Chiefs of Staff). Coordinates the programming for, and operation of, intelligence activities of the Military Departments through the appropriate Secretaries concerned.

Acts to promote the coordination, cooperation, and mutual understanding within the Department of Defense and between the DoD and other Federal agencies in the civilian community.

Participates in providing policy guidance and supervision to the Defense Communications Agency, the Joint Tactical Communications Office (TRITAC), the World-Wide Military Command and Control Systems (WWMCCS), and those Defense intelligence activities charged with the execution of the DoD portion of the National Foreign Intelligence Program.

Other areas of responsibility include, but are not limited to, satellite activities; telecommunications; combat support; navigation and electronic warfare; tactical command and control; NATO C³ and intelligence; surveillance, warning, and reconnaissance; communications security; electronic counter-countermeasures, and the application and integration of ADP technology in areas of primary interest.

DASD(Technical Policy and Operations)

Organization. This position is located in the Office of the PDASD(C³I) in the office of the Assistant Secretary of Defense (Communications, Command, Control and Intelligence), OUSDRAE. The ASD(C³I) is the Principal Staff Assistant to the Secretary of Defense on Communications, Command, Control and Intelligence matters and the Principal Assistant to the Secretary of Defense for the National Communications System (NCS). In addition, he exercises primary staff responsibility in the Office of the Secretary of Defense for the World-Wide Military Command and Control System (WWMCCS), National Military Command System (NMCS), and WWMCCS-related systems, and for development of U.S. positions on all telecommunications-related matters involving NATO telecommunications policy, programs and procedures.

The incumbent of this position serves as Deputy Assistant Secretary of Defense (Technical Policy and Operations) with responsibility for providing technical advice, assistance and staff support to the ASD(C³I) by supplying technical policy and ensuring the effectiveness of all Department of Defense telecommunications operations world-wide, and in executing his responsibilities as principal assistant to the Secretary of Defense for the National Communications System.

Duties:

(1) Exercises staff responsibility for the NCS Executive Agent functions of the ASD(C³I), who is the principal assistant to the Secretary of Defense in his role as Executive Agent, NCS. As alternate to the ASD(C³I) in this capacity, the incumbent:

(a) Reviews progress in fulfilling NCS responsibilities and recommends to the Executive Agent for the NCS, as appropriate, measures for improving the NCS and for securing efficiency, effectiveness and economy. Reviews and evaluates requirements generated from user agencies and the proposals suggested to meet such requirements. Applies professional communications and electronics education and experience to such proposed requirements, solutions, etc., in order to provide an independent technical evaluation and recommendation to the Executive Agent for the NCS, who is responsible for ensuring the validity of all requirements placed on the NCS and determining how a variety of pressing needs should be fulfilled. Provides overall policy direction and guidance to the National Security Group, a special high level activity within the NCS.

(b) Provides for the receipt and processing of requests from all agencies requiring service from the NCS; to include: determining feasibility, developing alternatives, methods of implementation, and recommending appropriate priorities.

(c) Recommends NCS-related tasks and other projects to be assigned to the Manager, NCS, or to other governmental agencies, as appropriate. Reviews the final reports from such projects and provides

the Executive Agent for the NCS with an independent technical evaluation thereof. Reviews other proposals to determine if they are technically and professionally adequate and feasible.

(2) Identifies the need for, develops, coordinates and recommends new or revised telecommunications operations policy, doctrine and implementing directives for control of and compliance with the telecommunications objectives of the DoD.

(3) Provides the focal point for liaison and representation for the DoD in joint technical studies and projects with the Department of State, Director of Telecommunications Policy (Executive Office of the President), Federal Communications Commission, General Services Administration, Department of Commerce, Defense agencies and other Federal departments and agencies to develop overall policies and procedures for national telecommunications.

(4) Provides executive leadership and staff direction, technical expertise, and policy guidance for:

(a) The establishment of meaningful operational and economic evaluation criteria, cost-effectiveness parameters, and operational utility parameters, including test or exercise objectives.

(b) Review of overall DoD telecommunications performance, including quality, cost and mission effectiveness; making recommendations for improvement, as appropriate.

(c) Formulation and coordination of DoD position papers and policy guidance governing telecommunications projects, such as Presidential Directives, Presidential Review Memoranda, national policies on commercial communications, and DoD use of international commercial communications.

(d) The development of policy and operational aspects of OSD and U.S. telecommunications responses to General Accounting Office reports, Office of Management and Budget directives, and Congressional inquiries.

(e) Support in:

1. Formulation of overall objectives for Defense telecommunications, including order of priority and timing with particular interest in reliability and cost-effectiveness.

2. The translation of current, medium, and long range objectives for DoD telecommunications into implementing policy and directives.

3. Coordination and review of telecommunications plans of the NCS, Military Departments, and Defense agencies (including those special telecommunications of a sensitive nature), to ensure that inter-service and inter-agency needs are adequately and satisfactorily met.

(5) Exercises responsibility and provides overall policy direction for all common carrier, leased circuit, frequency allocation, channel allocation, and circuit assignment matters, particularly in regard to Automatic Digital Network (AUTODIK), Automatic Voice Network (AUTOVON), and Automatic Secure Voice Communications Network (AUTOSEVOCOM).

(6) Provides the focal point within the DoD for sponsoring and coordinating actions of governmental and industrial groups (both national and international) in the development, preparation and promulgation of design, operation, engineering, installation, and operation of equipment and systems to be used in military force communications and throughout the global Defense Communications System (DCS) and NCS.

(7) Serves as the DoD central point of contact on telecommunication policy matters to organizations external to DoD.

(8) Provides DoD policy guidance and evaluates and approves plans and programs for Radio Frequency Management, World Administrative Radio Conference-1979 and Electromagnetic Compatibility.

(9) Performs other duties as assigned.

DASD(Plans and Resources)

Organization. This position is located in the Office of the Assistant Secretary of Defense for Communications, Command, Control and Intelligence (C³I). The ASD(C³I) is the principal staff assistant to the Secretary of Defense for C³I resource management, as set forth in DoD Directive 5130.2, dated 16 June 1977. In turn, the Deputy ASD for Programs and Resources (P&R) is the principal staff assistant to the ASD(C³I) for resource aspects of all DoD command, control, communications and intelligence activities. These include DoD planning, programming, and budget preparation activities, as well as preparation of statements, testimony, and responses to the Congress in all C³I programs.

Functions.

(1) Supervises the Director for C³ Resources in the exercise of his resource management functions, involving OSD-level development, review, coordination and/or issuance of planning, programming, and budgeting decision and policy documents; development of issues for fiscal resolution; selection of analysis methodologies suitable for C³ problems; assuring C³ resource data bases; and control and coordination of telecommunication resources to include deferral or release of funds, and transfer of funds between Services and Agencies.

(2) Supervises the Director of Intelligence Resources in the exercise of his resource management function of DoD intelligence programs comprising the National Foreign Intelligence Program (including the Consolidated Cryptologic Program (CCP), the General Defense Intelligence Program (GDIP), Special Air Force Activities and Special Navy Activities), and the program defined as Intelligence-Related Activities (IRA), including, for example, the DoD Tactical Intelligence Program. This involves monitoring all Agency/Military Department budgetary inputs to intelligence programs; recommending preferred budgetary alternatives and fiscal and budgetary program changes; preparation of Program Decision Memorandums for SecDef signature; serving as principal ASD(C³I) intelligence resources spokesman during the joint DoD/OMB/DCI Intelligence Program Budget Review; conducting critical analyses of national and IRA program and budget submissions for the Services; developing intelligence issues based on fiscal and budgetary evaluations and relative contribution to national and defense policies and goals.

(3) Supervises the Director of Planning in the interaction with Congress on C³I matters; in the creation of C³I system architectures involving both complex scientific and operational parameters; in long-range planning involving scientific, technical R&D, and acquisition strategies; and in the development of OSD program documents and guidance. Congressional interfaces include personal interaction on principal issues, overseeing the preparation of C³I fiscal and manpower aspects of Congressional testimony preparation and development of responses to Congressional inquiries--both informal and for-the-record.

(4) Functions as principal assistant to the ASD(C³I) for all matters described above as under his supervision and deals accordingly with officials within DoD and other government agencies, and with industrial managers or academic representatives. Prepares speeches, briefings, study presentations, etc., as appropriate.

Deputy Assistant Secretary of Defense (Communications, Command and Control)

Organization

This position is located in the Office of the Assistant Secretary of Defense (Communications, Command, Control, and Intelligence). The incumbent serves as the Deputy Assistant Secretary of Defense (Communications, Command and Control). Incumbent provides expert technical support to the ASD(C³I) and his Principal Deputy on all matters related to DoD Telecommunications and Command and Control systems, and directs the organizational sub-components involved in the development of policies, systems, and programs for C³ systems architecture and acquisition. Oversees the management and coordination of Service and Defense Agency C³ programs for the following major mission areas:

- Strategic Command and Control
- Strategic Communications
- Theater Command and Control
- Tactical Command and Control
- Tactical Communications
- Electronic Warfare and Counter-C³
- Navigation and Position-Fixing
- Support and Base Communications
- Common User Communications
- Communications Security (COMSEC)
- Strategic and Theater Information Systems

Technical disciplines involved range from advanced electronic component technology to sophisticated, highly complex space systems.

Functions

2

The DASD(C³) on behalf of the ASD(C³I) and his Principal Deputy is responsible for all DoD activities necessary to Defense C³. Incumbent provides policy guidance and technical direction to the ODASD(C³) staff through the Directors for Combat Support, Electronic Warfare and Counter-C³, Information Systems, Communications Systems, and Strategic and Theater Command and Control Systems. This includes responsibility for the development of policies, systems, and standards by which the development and acquisition of Defense C³ systems will be accomplished. Reviews proposed C³ programs in terms of total Departmental requirements, state-of-the-art technology, and availability of resources. Assures the preparation of presentations and justifications to be provided to the Secretary of Defense, interdepartmental committees, international forums, OMB, and the Congress on all issues within area of responsibility. On behalf of the ASD(C³I), and as required, provides expert testimony on Defense C³ programs and budgets to Congressional committees and staffs. Makes recommendations on program trade-offs, systems integration, consolidations, and operational methodology in order to achieve increased C³ systems effectiveness and efficiency, to eliminate costly duplication in systems development and acquisition, and to assure complete and responsive strategic and tactical C³ systems operations.

Manages the preparation of overall development and acquisition plans to achieve optimum military capability for the aforementioned mission areas.

Defines relative emphasis to be placed on each program and, by working with major resource sponsors, develops priorities for developing systems.

Participates in and directs the development of policy guidance and acquisition strategy for the Defense Communications Agency, the Joint

Tactical Communications Office (TRI-TAC), the Worldwide Military Command and Control System (WMCCS).

Acts to stimulate R&D by private enterprise in areas of potential significance to Defense C³. Promotes coordination, cooperation, and mutual understanding within DoD and between DoD and other Federal Agencies. Acts as the chairman, major participant, or OASD(C³I) representative on major committees that oversee and direct the development of C³ systems, especially in the area of Tri-Service tactical communications, command and control for strategic forces, and C³ research and development.

DEPUTY ASSISTANT SECRETARY OF DEFENSE (INTELLIGENCE)

ORGANIZATION

The Office of the Deputy Assistant Secretary of Defense (Intelligence) is located in the Office of the Assistant Secretary of Defense (Communications, Command and Control, and Intelligence). The ASD(C³I) is the principal staff assistant to the Secretary of Defense for Department of Defense telecommunications, command, control, and intelligence resources (including related warning and reconnaissance activities).

The Office of the Deputy Assistant Secretary of Defense (Intelligence) is the primary source of technical policy and management expertise within the OASD(C³I) for all matters involving intelligence and intelligence related activities. It is responsible for advice on related modernization planning and R&D efforts on intelligence and intelligence-related systems and intelligence and intelligence related information processing and data handling techniques. It is responsible for technical review of intelligence and intelligence related systems and programs during their development and acquisition, and for preparation of overall plans for the evolution of these systems.

The Office of DASD(Intelligence) contains two directorates; one for National Intelligence Systems, and one for Tactical Intelligence Systems. An organization chart is at TAB A.

FUNCTIONS

The DASD(I) manages, plans, directs, and coordinates the activities of two subordinate directorates engaged in the performance of specialized work associated with the review and assessment of DoD-wide intelligence and intelligence-related systems. These two staffs are the Directorate, National Intelligence Systems, and the Directorate, Tactical Intelligence Systems. The DASD(I) oversees and participates in the intensive review and evaluation of existing systems, those in development, and plans for systems to meet future needs. DASD(I) manages the preparation of technical criteria for use in measuring efficiency, adherence to desired performance specifications, and mission satisfaction. In this connection, DASD(I) assures technical review of program proposals and budget submissions and takes necessary action to bring questionable issues to the attention of the Assistant Secretary of Defense (C³I) for discussion and resolution of differences. He also acts as the reviewing authority for the technical and fiscal implementation of intelligence and intelligence-related programs for consistency with guidance and satisfaction of technical requirements.

DASD(I) meets regularly with senior representatives of the Military Departments, the IC Staff, Defense agencies, Unified and Specified Commands, and other key officials throughout the Intelligence Community. He is responsible for ensuring that he and his staff are currently informed of the latest developments, new inventions and techniques, test results on experimental projects, etc., through personal contact with senior representatives of industry, academic, and research organizations, learned societies, and others, including liaison contacts with representatives of friendly foreign governments.

2

DASD(I) insures that intelligence, and intelligence related, programs are properly phased with appropriate C³ systems. DASD(I) identifies issues which involve multi-systems and which bisect two or more programs; provides plans and recommendations to the Assistant Secretary of Defense (C³I) for the resolution of sensitive issues and for alternative courses of action.

Through all stages of systems planning, development and implementation, DASD(I) manages the assessment of interfaces in national intelligence, and tactical intelligence, assuring proper consideration of interfaces with NATO.

The DASD(I) manages the development of plans and recommendations for intelligence systems that support the national command authorities and their policies.

DASD(I) insures the proper balance and mix of intelligence, and intelligence related, systems to satisfy DoD and national requirements in times of peace, emergency, or the crisis of war. DASD(I) coordinates with the Deputy Assistant Secretaries of Defense for C³, Technical Policy and Operations, and Plans and Resources, in the formulation of R&D requirements and fiscal policy for C³, intelligence and intelligence-related systems.

DASD(I) is the primary interface with the Office of the Deputy Under Secretary of Defense for Policy on evaluations and assessments of intelligence and intelligence-related systems.

DASD(I) serves as the chairman, or member, of special study groups, task forces, working committees, etc., on highly sensitive intelligence, intelligence-related, and surveillance and warning systems problems or proposed plans of national significance. These involve dealing with senior military managers, Defense officials, scientists, engineers, and program officials to develop new concepts for the future, feasibility of adopting new operational concepts to solve intelligence problems, degree of modification of existing systems to maintain the integrity of Defense intelligence systems and the validity of the results of intelligence analysis, and other aspects of large scale systems management.

DIRECTOR OF STRATEGIC COMMUNICATIONS,
COMMAND AND CONTROL

INTRODUCTION

This position is located in the Office of the Deputy Assistant Secretary of Defense for Communications, Command and Control (DASD(C3)), Office of the Assistant Secretary of Defense for Communications, Command, Control and Intelligence.

DUTIES

As Director of Strategic Communications, Command and Control, the incumbent: provides executive leadership, guidance and direction to a senior-level staff of civilian and military specialists who have continuing responsibility for assigned programs within the scope of the Office of Strategic Communications, Command and Control (OSC3) functions (this scope includes programs for acquisition, improvement and operation of strategic surveillance and warning systems, strategic command and control facilities, and strategic communications); oversees development of procedures and techniques for planning, review, and evaluation of all systems and subsystems of interest to OSC3; directs and coordinates in-depth analyses, research, on-site inspections, and liaison with OJCS and Service commanders or others as appropriate, in order to make an accurate appraisal of the efficiency and cost-effectiveness of present SC3 systems and programs; uses such data and findings as a basis for plans and technical guidance to improve OASD(C3I) resource management, control and utilization.

Based on broad knowledge and extensive experience in the field of SC3, and reinforced by data available from program reviews or other sources, the incumbent, as a recognized expert in this field, provides technical advice, assistance, and staff support of a high order to the ASD(C3I) and higher authority on matters within the responsibility of OSC3; and is expected to take the initiative in the development of new or revised policies, goals, and programs for recommendation to higher authority. The incumbent holds meetings, conducts briefings and otherwise presents and defends OASD(C3I) positions on such matters.

In addition to the foregoing, and with the support and assistance of his staff, the incumbent of this position:

o Reviews and make recommendations on those parts of the command and control master plans of the Unified and Specified Commands, Services, and Defense Agencies within the cognizance of OSD(C3).

o Reviews and makes recommendations on plans, programs, and budget submissions for SC3 systems to assure their consistency with guidance, technical adequacy, proper funding and interoperability.

- o Serves as focal point for planning, coordination and development of U.S. strategic command and control systems.

- o Recommends research and exploratory development programs to support the evolution of SC3 technology and rectify command and control deficiencies.

- o Insures the compatibility of SC3 and systems with related military and non-military systems.

- o Assures the maintenance of the Worldwide Military Command and Control System (WWMCCS) architecture.

- o Monitors and evaluates WWMCCS performance.

- o Serves as focal point for the management of the activities of the WWMCCS Systems Engineer.

Incumbent insures a continuing affirmative application of the OSD-wide policy of equal employment opportunity. Insures that personnel management within the organization is accomplished without regard to race, color, religion, sex, age or national origin. Is responsible for keeping abreast of developments, policy issuances, etc., in the EEO.

DIRECTOR, THEATER AND TACTICAL C²

Introduction

The position of Director, Combat Support, is located in the Office of the Assistant Secretary of Defense (Communications, Command, Control and Intelligence (C³I)).

The Director, Combat Support, has responsibility for management of over 65 separate development and acquisition programs in the following mission areas:

- o Tactical Command and Control
- o Positioning and Navigation
- o Tactical, Reconnaissance and Surveillance

These programs account for about \$1 billion of RDT&E and \$2 billion of production, operations/maintenance and support funding each year. Technical disciplines involved run the gamut from advanced electronic component technology to sophisticated space based worldwide navigation and positioning systems.

Duties

1. The Director, Combat Support, is responsible for all DoD activities necessary to the Combat Support Program. Additionally, he chairs the Navigation Working Group of the Positioning/Navigation Executive Group, which is responsible to the Assistant Secretary of Defense (C³I) for overseeing the RDT&E and acquisition of positioning and navigation systems within the Department of Defense (DoD) and the Research and Development (R&E) Sub-group of the DoD Advisory Committee on Federal Aviation, which is responsible for coordinating programs of interest to the Federal Aviation Administration, the Office of the Secretary of Defense (OSD), and the Military Departments.

2. Manages the preparation of overall development and acquisition plans to achieve optimum military capability in the Combat Support mission areas by specifically defining the relative emphasis to be placed on each program.

3. Manages the preparation of Decision Coordinating Papers (DCPs) and Mission Area Summaries (MAS) necessary for proper conduct of the programs assigned to his office. He assures that:

(a) each project is properly oriented technically and operationally towards correction of significant combat forces deficiencies;

(b) all tactical and operational principles have been considered and integrated into the program where necessary;

(c) the views of all concerned segments of the Military Departments, OSD, industry, universities and research organizations have been carefully considered;

(d) budgetary requirements, pivotal performance and cost characteristics, including design-to-cost goals, if appropriate, have been clearly established with a set of definitive and measurable milestones against which each RDT&E program's progress can be assessed;

(e) the specialists and military assistants assigned to his office are properly guided in their preparation of DCPs and other documents. This includes discussion and clarification of OSD policy, interservice coordination considerations, operational and cost factors, and where necessary, initiation of studies to enlighten controversial issues or clarify key points;

(f) all written material is clear, concise and logically ordered; that significant management issues and decision alternatives have been highlighted sharply; and that all necessary supporting data have been furnished.

4. Reviews progress of development and production activities being pursued in support of Combat Support mission area plans. Recommends needed changes or modifications to help insure that planned technical and cost, including design-to-cost, goals will be met.

5. Recommends budget (categorized into RDT&E production, military construction, Operations and Maintenance activities) for the Combat Support mission area. This includes the Program Objectives Memorandum, Defense Report, the Five Year Defense Plan, Posture Statement, and the annual RDT&E budget.

6. Accomplishes other tasks as may be assigned by the Assistant Secretary of Defense (C3I).

Director, Communications Systems

Introduction: This position is located in the Office of Communications Systems, Office of the Principal Deputy Assistant Secretary/Deputy Under Secretary of Defense for Research and Engineering (Communications, Command, Control and Intelligence), OASD (C³I), Office of the Under Secretary of Defense for Research and Engineering. The ASD (C³I) is the principal staff assistant to the Secretary of Defense for C³I resource management as set forth in his charter--DOD Directive No. 5130.2, dated 16 June 1977, which summarizes the functions, responsibilities, and authorities of the ASD. Related organizational and staffing data are a matter of record.

The Office of Communications Systems provides technical advice, assistance and staff support on matters relating to the development, design, testing, acquisition, and operation of global, theater, common user, and strategic telecommunications systems. These systems elements of command and control and the WWMCCS.

The incumbent of this position serves as Director, Office of Communications Systems responsible for providing technical advice, assistance, and staff support to superiors on matters relating to the development, design, testing, acquisition, and operations of DOD telecommunications systems. This includes global, theater, common user, and strategic systems as well as elements of command and control and of the WWMCCS. Performs duties as outlined below.

Duties: Provides executive direction and leadership of a high order to a staff of senior professionals who are recognized throughout the DOD communications organizations and their counterparts elsewhere in government for their broad knowledge and expertise in their respective areas of specialization. Guides and coordinates staff efforts toward the attainment of mission objectives for the Office. Assures that such efforts are carried out within the broad guidelines of overall policy, priorities, and goals established by higher authority.

In connection with the foregoing, and with the support and assistance of the Office of Communications Systems staff, incumbent -

- o Initiates plans for the development, design, acquisition, testing, and operation of all DOD telecommunications systems and equipment. Makes technical review of conceptual plans and designs for proposed new systems and equipments to insure the proper level of reliability, survivability, security, funding, and interoperability with other systems and networks. This involves identification and proper phasing of needed research and development of advanced technology and systems and the method of systematic introduction of new systems into the inventory.

- o Reviews, evaluates, and provides direction for the development, design, acquisition, testing and operation of all telecommunications programs of the Military Departments and Defense Agencies to insure their compatibility, efficiency, and effectiveness.

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o Recommends DoD policy for telecommunications planning, development, and design with the objective of attaining timely, effective, and efficient solutions to long-term national and DoD telecommunications needs in assigned areas of responsibility. Participates in the review of JCS, Military Departments, and other DoD telecommunications programs, plans, and requirements; and insures that they reflect and are addressed by the Ten-Year DoD Plan for Telecommunications and WWMCCS. Maintains liaison with the Office of the Deputy Under Secretary of Defense for Policy.

o Initiates and participates in the preparation of Area Coordination Papers (ACPs) for major telecommunications plans and programs. These ACPs analyze present and projected needs and develop optimum programs and plans to meet these needs.

o Reviews and participates in preparation of Development and Concept Papers (DCPs) for new telecommunications systems. DCPs contain detailed plans for the implementation of approved ACPs and contain sufficient detail for direct transfer to programming documents for budgetary purposes. Supports and represents the ASD(C³I) on matters within the scope and responsibility of the Defense System Acquisition Review Council (DSARC).

o Monitors and reviews the telecommunications plans and RDT&E programs of the Military Departments and Defense Agencies to insure that they support the policies, objectives, and needs of the DoD and National Communications Systems. Provides superiors with timely recommendations concerning program deficiencies and appropriate remedial actions. Recommends initiation and changes in the magnitude of RDT&E projects in important areas where he is able to identify deficiencies. Develops technical criteria and program guidance for these programs to insure consistency with the overall system framework developed in the DoD Ten-Year Plan for Telecommunications. Participates in program analyses and evaluations required by the planning, programming and budget system affecting DoD telecommunications programs in his area of responsibility.

o Directs and coordinates the preparation of major segments of the overall telecommunications RDT&E budget. This includes comprehensive backup material and requires coordination with the C³ budget coordinator and OASD(Comptroller) throughout the budget process.

o Guides and actively participates in the establishment of technical test and evaluation criteria with emphasis on reliability, survivability and security for communications systems.

Based on broad knowledge and extensive experience in this field, incumbent proposes appropriate research and exploratory development programs to support telecommunication objectives and to stimulate advances in the state of the art in this area of responsibility. Conducts technical analyses in pertinent technologies and disciplines to define the characteristics of new research and development which offer potential solutions to long-term military telecommunications problems. Recommends testing and/or limited applications of new technologies as appropriate.

Represents superiors and C³I interests by serving as an active participant in interdepartmental study groups, task-forces, boards and committees. May serve as group leader or chairman of such groups. Also, in like manner, serves on international (i.e., NATO or other) study and work groups for the purpose of exploring technical problems and working out cooperative approaches to their resolution. Follows up on implementation. Maintains liaison with universities, industry, government laboratories and other facilities to keep abreast of new developments and trends.

Monitors NATO and Allied telecommunications programs and plans to insure consistency with DoD plans for telecommunications and WWMCCS. Travels to overseas bases in Europe, the Pacific, and elsewhere on official business of great importance to the achievement of C³I and Office of Communications Systems objectives.

DIRECTOR
ELECTRONIC WARFARE AND COMMUNICATIONS, COMMAND,
AND CONTROL COUNTERMEASURES.

INTRODUCTION

This position is located in the Office of the Deputy Assistant Secretary of Defense (Communications, Command, and Control). The incumbent of this position serves as the primary source of technical, programmatic, and management expertise within the Department of Defense for all matters involving electronic warfare and communications, command, and control countermeasures (EW and C³CM). In this capacity, he is responsible for advising the Assistant Secretary of Defense (C³I), the Under Secretary of Defense for Research and Engineering, and frequently the Deputy Secretary of Defense on major program decisions regarding extremely critical areas of airborne and surface based devices and systems for collecting and processing information about the presence, type, and location of enemy tactical forces and weapons and electromagnetic warfare systems to degrade enemy C³ systems and the weapon systems they control.

Nations large and small are deploying radars, missiles with seeker heads, guided munitions, electronic intelligence collection devices, and communications systems to command and control these weapons at an extremely rapid pace. Virtually any level of conflict in which this country may become engaged will very likely require a large and competent operational EW and C³CM capability either because the enemy forces will have highly lethal electronic weapons to begin with or because of the technical and material support they will receive from their more industrially advanced allies. The experiences of our forces in Southeast Asia and of friendly forces using U.S. electronic equipment during military clashes during the early 1970's highlighted the need for a drastic improvement in the capability of friendly forces to exploit, deceive, jam, or destroy the communications systems and radar, infrared, and electro-optical guided weapons employed by nations hostile or potentially hostile to the U.S. and its allies. As a result, EW and C³CM programs of the DoD were revisited and reanalyzed.

The Director, EW and C³CM, is instrumental in restructuring the research and development program to permit better understanding of and coordination between the program elements and provide proper direction of effort. The principal new thrust is toward organizing a coordinated Army and Air Force effort to exploit the potential of EW and C³CM to counter enemy forces in the forward edge of the battle area and to strengthen the Navy's capability to conduct effective operations during war-at-sea and power project ashore operations. In the past years, the

magnitude of the programs for which the incumbent is directly responsible has increased to 46 major RDT&E program elements valued at approximately \$500M annually. There are six additional programs associated with intelligence activities which the incumbent must monitor closely. The DoD procurement and operation of EW and C³CM equipment developed under the RDT&E account exceeds \$1 billion annually. Far more important, however, is the materially improved defense posture of the United States and our allies due to improved and expanded technical capabilities in this area.

DUTIES

As the ranking DoD authority on EW and C³CM, the incumbent provides technical support to his supervisors, including the Deputy Secretary/Secretary of Defense on major policy and program decisions and provides expert programmatic and technical guidance to the Military Departments, other elements of DoD, civilian and military authority of NATO and other allies, and defense industries both in the United States and abroad. The electronic warfare and C³ countermeasures program with which he must be thoroughly familiar covers a broad spectrum of complex technical fields, including, for example, self-protection and support aircraft jamming systems; shipboard threat warning and anti-shipping missile decoy systems; tracked, vehicle-mounted C³ jammers; and data transmission, processing, and distribution systems to provide the information to the operational commander in a timely manner.

o Advises the Assistant Secretary of Defense (C³I) on major program decisions regarding the extremely critical areas of airborne, land-based or sea-borne devices on systems for intercepting and processing information about the presence, type, and location of enemy forces and weapons and the electromagnetic warfare systems needed to degrade enemy C³ systems and the weapon systems they control.

o Originates, evaluates, and provides guidance to OSD and the Military Departments regarding project plans for new systems.

o Determines the need for such programs based on an analysis of current/potential threats, resource priorities, requirement trends, strategic objectives, and innovations in technology related to electromagnetic warfare and signal exploitation. This involves an analysis of a vast amount of complex technical and scientific data gathered from a variety of sources (e.g., the Military Departments and other OSD offices).

o Incumbent insures a continuing affirmative application of the OSD-wide policy of equal employment opportunity. Insures that personnel management within the Directorate is accomplished without regard to race, age, religion, sex, handicap, or national origin. Is responsible for keeping abreast of developments, policy issuances, etc., in the equal employment opportunity field.

DIRECTOR, INFORMATION SYSTEMS

Introduction. This position is located in the Office of the DASD (C³), Office of the Assistant Secretary of Defense (Communications, Command, Control and Intelligence) (C³I). The Assistant Secretary of Defense (C³I) is the Principal Staff Assistant to the Secretary of Defense for technical telecommunications, command and control and intelligence matters and the Principal Assistant to the Secretary of Defense for the National Communications System.

The Director, Information Systems, is responsible for providing staff support, assistance, advice and recommendations to the DASD (C³), the PDASD (C³I) and the ASD (C³I) on technical, budgetary, and other program matters related to automated information systems. He recommends approval, disapproval or changes in Department of Defense Information System plans and associated funding requirements. While reviewing information system plans he will ensure that there is a minimum of duplication, effective integration and system engineering, and appropriate configuration management of technical components and the associated information reporting systems.

The Director, Information Systems also serves as the Director, WWMCCS ADP Coordinating Office. Overall objectives of the WWMCCS ADP Coordinating Office are to oversee the WWMCCS Information System (WIS) modernization process and to assure that key decisions affecting WIS evolution and modernization are translated into action within the normal Department of Defense (DoD) institutional framework.

Duties:

- (1) Defines and recommends tasking to develop plans, programs and technical policies to guide the directions of information systems developments.
- (2) Provides program oversight and architectural guidance for DoD information systems dealing with command and control and intelligence applications. These include the WWMCCS Information Systems, Automated Message Handling, the DoD Intelligence Information System (DODIIS) and other specified information systems. Ensures that development in these areas is consistent with an overall architectural objective.
- (3) Represents the Assistant Secretary of Defense (C³I) on committees or panels related to automated information systems technology, programs, or policy.
- (4) Provides expert advice and assistance to the C³I staff for the management of software acquisition in C³I programs.
- (5) Provides for Congressional interfaces including personal interaction on principal issues, overseeing the preparation of C³I information systems fiscal and manpower aspects of Congressional testimony preparation and the development of responses to Congressional inquiries—both informal and for the record.

(6) Responsible for monitoring Agency/Military Department budgetary inputs to C³I information system programs; recommending preferred budgetary alternatives and fiscal and budgetary program changes; preparing Program Decision Memorandum for SecDef signature; conducting critical analyses of information system programs and budget submissions and developing information system issues based on fiscal and budgetary evaluation and relative contribution to national defense policies and goals.

(7) Ensures the development of effective ADP security programs and technical policy in support of command and control and intelligence requirements. Coordinates these developments with COMSEC programs/policy.

(8) Recommends initiatives and program directions for R&D in information systems technology, including display, human engineering and ADP technology areas.

(9) Acts as the Director, WWMCCS ADP Coordinating Office with the following responsibilities, authorities and functions:

(a) Provides OASD (C³I) staff support and makes recommendations relative to (WIS) evolution and modernization.

(b) Acts as the Secretariat for the WWMCC ADP Executive and Coordinating Committee structures.

(c) Maintains oversight, through the WWMCC System Engineer, the WWMCCS ADP Technical Support Manager, the Director, C³S, OJCS, and the Services of programming and expenditure of resources necessary for WIS modernization.

(d) Acts as the DoD focal point and coordination point for all activities related to WIS evolution and modernization. In this regard, DoD Components ensure that all actions related to WIS evolution and modernization are coordinated through the WWMCCS ADP Coordinating Office.

(e) Acts as a coordination point between the WIS and DoD Intelligence Information Systems (DODIIS) modernization planners and between WIS and related Allied Command and Control Information Systems modernization efforts.

DIRECTOR, C³ RESOURCES

INTRODUCTION. This position is located in the Office of the Deputy Assistant Secretary (Plans and Resources), Office of the Assistant Secretary of Defense (Communications, Command, Control and Intelligence). The ASD(C³I) is the principal staff assistant to the Secretary of Defense for C³I resource management. The incumbent of his position serves as Director for C³ Program Resources.

DUTIES. Serves as principal advisor to superiors and to the C³ Office Directors on the fiscal and manpower aspects of all C³ and related activities. Incumbent monitors resource aspects of all OSD/OJCS, Service, Agency and Theater assets and formulates resource recommendations which are referred upward to the ASD(C³I) and, ultimately, to the Secretary of Defense for decision. Basic responsibilities of incumbent, as C³ Program. Budget Coordinator include:

- o OSD-level development, review, coordination, and/or issuance of planning, programming, and budgeting decision and policy documents associated with those functional areas of primary concern. Such documents include Fiscal Guidance, Program Objectives Memoranda (POM) Guidance, Apportionment, Program Decision Memoranda (PDM), Program Change Decision (PCD), Program Budget Decision (PBD), and single issue decision and policy memoranda.

- o Development of issues and initiatives lists which point up areas of profitable study and resolution of problems leading to improved resource expenditure levels and better fiscal decisions.

- o Studies, analyses, and audits relating to C³ resources to include in-house efforts as well as direction and monitoring studies and analyses of others which aim to facilitate decisions and develop ASD(C³I) positions, as required.

- o Independent validation of methodology, cost, and performance data as well as conclusions of C³ systems resource analyses conducted at lower and lateral levels.

- o Acquisition, maintenance, and operation of the C³ resources data base to provide ready visibility over those resources for management and reporting purposes.

- o Control and coordination of C³ resources to include deferral and release of funds, coordination of reprogramming actions, and transfers of funds between Services and Agencies.

- o Providing the focal point and clearing house for support pertaining to responses to Congressional, General Accounting Office, and Office of Management and Budget on C³ matters.

DIRECTOR, INTELLIGENCE RESOURCES

Introduction

The Deputy Assistant Secretary of Defense (Plans and Resources) is the primary assistant to the Assistant Secretary of Defense (Communications, Command, Control and Intelligence) for the resource aspects of all DoD communications, command, control and intelligence activities. These include DoD planning, programing, budgeting and execution activities as well as the preparation of statements, testimony and responses to the Congress in all communications, command, control and intelligence programs.

The Director, Intelligence Resources, serves as the principal assistant to the Deputy Assistant Secretary of Defense for Plans and Resources [DASD(P&R)] and to the Assistant Secretary of Defense (Communications, Command, Control and Intelligence) [ASD(C³I)] for all DoD fiscal and budgetary matters concerning the resources of DoD national intelligence programs, tactical intelligence programs and other Tactical Intelligence and Related Activities (TIARA).

DoD national intelligence programs include the Consolidated Cryptologic Program (CCP), the General Defense Intelligence Program (GDIP), Special Air Force Activities and Special Navy Activities. These are the positive intelligence elements of the DoD which are also contained in the National Foreign Intelligence Program (NFIP).

Tactical Intelligence and Related Activities (TIARA) comprise activities not contained within the NFIP which respond primarily to military commanders for time sensitive intelligence while also responding to national intelligence needs. DoD tactical intelligence programs are a subset of TIARA which consists of cryptologic and other intelligence efforts which directly support operational commanders. TIARA also include Intelligence Training, Reserves, and Research and Development Activities.

The Director, Intelligence Resources, is responsible to the DASD (Plans and Resources) for the conduct of cross-program budgetary analyses and for overall fiscal and manpower program development on the national intelligence programs, tactical intelligence programs and other Tactical Intelligence and Related Activities (TIARA) for the Department of Defense (DoD).

Duties

- Monitors all Agency/Military Department budgetary inputs to intelligence programs in the DoD Planning, Programing and Budgeting System (PPBS) and the Zero Base Budgeting (ZBB) System to ensure that the ASD(C³I) is apprised of the intelligence budgetary alternatives programed and under consideration. Identifies and recommends preferred alternatives on the basis of articulated and anticipated Secretary of Defense and ASD(C³I) preferences and policies.

- Recommends fiscal and budgetary program changes that will enable the more efficient use, cohesiveness and management of available intelligence resources to meet national and tactical intelligence requirements. Such recommendations are based on a thorough assessment of national and DoD economic trends and policies.

- Prior to recommending fiscal and budgetary changes, the incumbent integrates; compiles and collects fiscal data concerning intelligence resources obtained from other C³I elements, from the Directors, National Intelligence Systems and Tactical Intelligence Systems and their staff assistants, from DoD national and tactical Program Managers, and from Service and Defense Agency intelligence and program/budget staffs.

- Prepares Program Decision Memorandums (PDM's) for the Secretary of Defense's signature which direct the execution of the incumbent's recommended course of action with respect to programmatic content. After signature of the PDM's, incumbent ensures the programs are adjusted accordingly.

- By maintaining general and, in some areas, specific detailed knowledge of intelligence equipment capabilities, incumbent is able to recommend policy direction of MILDEPS and other DoD agencies [i.e., OASD(C); OASD(PA&E); OUSD(PR)] with regard to the transfer of funds to meet intelligence requirements in accordance with the Five Year Defense Plan (FYDP), RDT&E guidance and GDIP, CCP, Special Air Force and Special Navy Activities.

- Serves as the principal ASD(C³I) intelligence resources spokesman during the joint DoD/DCI/OMB Intelligence Program Budget Review, thereby ensuring the development, coordination and promulgation of all fiscal and manpower decision documents for national and tactical intelligence planning, programing, budgeting and execution at the OSD level.

- Conducts resource reviews, analyses and evaluations of national and IRA program and budget submissions from the Army, Navy, Air Force, National Security Agency and Defense Intelligence Agency as directed by the Secretary of Defense in support of departmental and Presidential budgetary decisions.

- Serves as a principal committee member in the OASD(C) and OMB budget and apportionment reviews of Defense Intelligence Activities.

- Coordinates Congressional reductions and increases to DoD intelligence programs to ensure maximum effectiveness is obtained with the resultant minimum of adverse impact. This requires the constant monitoring of actual expenditures as a cross-check to assess the adherence to revised policy decisions.

- Analyzes DoD intelligence issues with respect to their contribution to national and defense policies and goals. These analyses are based on a fiscal and budgetary reevaluation of subordinate analyses as well as historical data, projected trends, and the articulated policy of the President and the Secretary of Defense. All fiscal and manpower analyses of programs search for substantive or funding weaknesses and recommend actions for their elimination.

- Establishes detailed fiscal and manpower boundaries for DoD intelligence activities, to include all Tactical Intelligence and Related Activities (TIARA).

- Works directly with ASD(C³I) to function as an interface at the ASD management level within the Office of Management and Budget, the National Security Council, the Department of State, the Intelligence Community Staff of the Director of Central Intelligence and other government agencies whose areas of interest are tangent to or impact on operations of the National Foreign Intelligence Program or DoD TIARA. This also involves communications to develop policy and coordination of positions both within OSD and outside at the behest of ASD(C³I).

- Incumbent is the principal assistant to the ASD(C³I) and the DASD (Plans and Resources), with respect to the fiscal and manpower aspects of Congressional testimony preparation and the development of responses to Congressional inquiries -- both informal and for the record for intelligence issues. Most important among these are testimony before six Congressional subcommittees. Incumbent's responsibilities for Tactical Intelligence and Related Activities (TIARA) are specifically intended to address recently articulated Congressional direction for improved OSD TIARA fiscal and manpower management. These efforts must be carefully coordinated with the intelligence elements of the Services and Defense Agencies as well as the DCI's Intelligence Community Staff.

DIRECTOR, SYSTEMS RESEARCH AND EVALUATION

Introduction

This position is located in the Office of the Deputy Assistant Secretary of Defense (Plans and Resources), Office of the Assistant Secretary of Defense (Communications, Command, Control and Intelligence). The Deputy ASD(Plans and Resources) is the principal staff assistant to the ASD(C³I) for resource and planning aspects of all DoD command, control, communications and intelligence activities. These include DoD planning, programming and budget preparation activities as well as preparation of statements, testimony, and responses to the Congress on all C³I programs. Incumbent serves as the Director, Systems Research and Evaluation and is responsible for the monitorship of DoD C³ and intelligence systems research programs and technical evaluation activities on behalf of the Office of the ASD(C³I).

Duties

The Director, Systems Research and Evaluation (SR&E) is responsible for:

- 1) The integration and promulgation of C³I system research.
- 2) The review, synthesis and dissemination of systems evaluation methodologies.
- 3) The assessment of advanced technologies and trends.
- 4) The conduct of a program of selected research ~~and~~ related to C³I.

The Director, SR&E discharges these responsibilities in several capacities. In addition to providing expert technical support to the

DASD (Plans and Resources), he also serves as the Executive Secretary to the C³I Systems Research Council and the C³I Systems Evaluation Council. These councils are chaired by the PDASD(C³I) and serve to advise the ASD(C³I) on all matters relating to, in the first instance, the conduct of C³I systems research and, in the second instance, C³I systems evaluation and analysis. As Executive Secretary to these councils he will be responsible for coordinating, synthesizing and preparing analyses of current research and evaluation activities across all Services and appropriate agencies and developing recommendations pertaining to their continuation and priorities as well as other specific assignments received from the councils.

Duties in connection with the aforementioned responsibilities are concerned with the integration and promulgation of C³I systems research and include the development of cross-service/agency perspectives of C³I systems ^{research} activities, stimulation of related information-exchange functions, and action as the focal point within the OASD(C³I) for all matters relating to the conduct of systems research.

Duties in connection with specified responsibilities in systems evaluation include the review and analysis of proposed methodologies and techniques, the development of a program to improve the state-of-the-art of C³I systems evaluation and the development and maintenance of a set of standards and guidelines for systems evaluation for submission to the Systems Evaluation Council.

Duties associated with the assessment of advanced technologies include serving as the OASD(C³I) focal point for liaison with the Defense Advanced Research Projects Agency, the Office of the Deputy ^{Under} Assistant Secretary of Defense ^{Research and Engineering} (Research and Advanced Technology), the C³I advanced technology research efforts of the Services and Defense Agencies, and with the intelligence community on foreign technology matters for C³I and related electronic warfare systems; monitoring the evolution of technology and the assessment of its impact on future C³I systems, through a liaison with the Service Laboratories, universities, industry, FCRC's, professional societies, and prominent individual scientists; providing the scientific and technical community with areas of potential long range interest to C³I as well as areas in which short term improvements are needed, and acting as the OASD(C³I) focal point for all public inquiries regarding the admissibility or introduction of novel technological concepts/approaches to C³I problems.

Studies and research to accomplish these tasks are accomplished through contractual agreements with appropriate academic and research activities, with assistance and support of research activities within the Military Departments and Defense Agencies, and through the detail of highly qualified specialists to the OASD(C³I) for project development.

Director, National Intelligence Systems

Introduction

This position is located in the Office of the Deputy Assistant Secretary of Defense (Systems), Office of the Assistant Secretary of Defense (Communications, Command, Control, and Intelligence).

The ASD(C³I) is the principal staff assistant to the Secretary of Defense for Department of Defense telecommunications, command and control, and intelligence resources (including related warning and reconnaissance activities). His responsibilities include guidance on DoD plans, programs and fiscal activities, program reviews, monitoring implementation of approved programs and direction of R&D matters relating to communications, command, control, and intelligence.

The DASD(Intelligence) is responsible for the development and implementation of the Consolidated Defense Intelligence Program (CDIP), monitoring of surveillance, warning, and other intelligence related activities, and for communications, command and control programs development and systems acquisition. His responsibilities are discharged through subordinate directors: (1) National Intelligence Systems; (2) Surveillance and Warning Systems; and (3) Tactical Intelligence Systems.

The Director, National Intelligence Systems is the primary source of technical policy and management expertise within the OASD(C³I) for all matters involving intelligence activities. In this capacity he is responsible for advising the ASD(C³I) on current and future issues pertaining to intelligence modernization, R&D efforts on intelligence systems, and intelligence information processing and data handling. He is responsible for technical review of intelligence systems and programs during their development and acquisition, for preparation of overall plans for the evolution of intelligence systems, and for such other subjects as may become appropriate.

Duties

- o Prepares, in coordination with appropriate OASD(C³I) staffs, inputs to annual DoD guidance and PPBS documentation for the direction and conduct of intelligence programs.
- o Acts as reviewing authority for the technical implementation of intelligence programs, for consistency with guidance, and for technical satisfaction requirements.
- o Provides primary interface with Director, Policy Review, for the conduct of evaluations and assessments of intelligence systems.
- o Reviews proposals, recommended programs, and budget submissions for completeness and responsiveness to requirements and guidance, identifying and acting on technical issues.
- o Ensures that intelligence programs are properly phased with necessary C³ support, and that flow, and processing, of information within and from intelligence systems is appropriately addressed.

o Identified issues which involve multi-systems and which cross programs, and provides plans and recommendations to ASD(C³I) for the resolution of these issues.

o Identifies alternatives and makes recommendations concerning the mix of intelligence systems to satisfy requirements of peace, crisis, and war.

o Ensures that intelligence interfaces in the tactical and NATO areas are properly considered in the direction, development, and implementation of intelligence systems.

o Ensures that the interfaces of intelligence and C³ systems are properly accounted for in the direction, development and implementation of systems.

o Develops plans and makes recommendations for intelligence systems to support national command authorities and their policies.

o Serves as the OASD(C³I) focal point for the preparation of required inputs for Presidential Review Memoranda dealing with intelligence systems and determines the technical impact, if any, of PRMs on the intelligence systems area.

o Determines, in coordination with the Deputy Assistant Secretary of Defense (Communications, Command and Control) in the formulation of required research and development efforts in the intelligence systems and supporting C³ areas.

o At the direction of the DASD(Intelligence) serves as a member of study groups, task forces, and working committees. Represents the ASD(C³I), of DoD, as appropriate, in providing advice, evaluation and coordination of assigned functions with other segments of DoD, as well as with government departments and foreign governments.

Provides technical competence in joint design and trade off studies at the DoD level to assure that required intelligence systems support is provided to meet DoD needs. Provides technical and scientific guidance in his area to joint, U.S. and allied boards and committees as appropriate, and represents ASD(C³I) as appropriate, in meeting with the Military Services, the IC Staff, intelligence agencies, industry or foreign nations when major developments affecting intelligence systems are under discussion.

o Incumbent assists top administrators in DoD as requested in advisory capacity in molding the main features of programs within his area of responsibility. He is responsible for achieving desirable coordination of DoD-wide intelligence efforts. This will be accomplished by such means as frequent contact and interchanges of information with key civilian and military technical personnel in the Department of Defense and other appropriate agencies. He will also undertake a program of discussions and personal contacts with high-level representatives of industry and educational institutions engaged in work in these fields. He will represent the ASD(C³I) on official committees and boards as spokesman in this area, and will be authorized to make recommendations which may have a broad influence on DoD-wide policy in administration of work on intelligence programs.

o Personally recruits and maintains a high quality professional staff to assist him in the discharge of his responsibilities.

o Responsible for the monitoring of R&D efforts in support of intelligence systems to ensure their consistency with overall intelligence systems goals and objectives.

o The incumbent will be subject to special assignment on related duties by the Deputy Assistant Secretary of Defense (Intelligence).

DIRECTOR, TACTICAL INTELLIGENCE SYSTEMS
DEPUTY ASSISTANT SECRETARY OF DEFENSE
(INTELLIGENCE)

Introduction - This position has the following basic duties:

1. Supervises a directorate consisting of six military/civilian professionals and two administrative personnel engaged in planning, programming, managing, coordinating and justifying within the executive branch and to six Congressional Committees all DoD Tactical Intelligence and Intelligence-Related Activities (TIARA), and those national assets that have military application.
2. Oversees and coordinates the management of tactical intelligence resources consisting of more than 55,000 personnel and \$2.7B.
3. Plans for all DoD tactical intelligence support to operational forces insuring the integration and application of appropriate national assets to satisfy military requirements; interface of national and tactical systems to minimize redundancy; and providing multi-service and, where appropriate and authorized, multi-national interoperability.
4. Evaluates and coordinates Military Service and Defense Agency tactical intelligence and intelligence-related programs, participating at each stage of the PPBS process to assure an integrated, coherent Defense tactical intelligence posture for support of the military forces.
5. Coordinates with the congressional staff and provides congressional justification in testimony or in writing for tactical intelligence and intelligence related activities.

Duties:

Supervisory Activities: Directs the professional and administrative actions of two Assistant Directors (GS-15 and Military 06); two civilian professionals (GS-14), two senior military officers (06); and two secretary/steno administrative experts. Insures the development of goals and objectives; assigns responsibilities and establishes priority of effort; provides broad or specific guidance as required; counsels and prepares performance appraisals; and performs related administrative and supervisory responsibilities to include the assurance of Equal Employment Opportunities. Incumbent must be cognizant of the detailed technical aspects of intelligence activities and the PPBS process to provide direction of subordinates efforts in tactical intelligence architectural development and assessment; program evaluation; and the development of investment strategies for specific systems as well as the total tactical intelligence apparatus. Directly supervises or oversees approximately \$1M annually in contractual study efforts.

Tactical Intelligence and Intelligence-Related Management. Incumbent is responsible for managing a dynamic and diverse mission area spread across Military Service and Defense Agency programs. Resources for which incumbent is responsible are in many instances a part of major programs, thus requiring extensive matrix management in collaboration with other Program Directors. Operating within this diverse management environment, incumbent must insure the development of a cohesive tactical intelligence and intelligence related activities (TIARA) program comprised of over 55,000 personnel and \$2.7B. To fulfill this management responsibility, the incumbent provides OSD guidance and leadership for the JCS, the Military Departments, Defense Agencies, U&S Commanders and theater and tactical components in developing a survivable, tactical intelligence support structure that provides advanced warning of attack and sustained intelligence support to operational forces. Provides the management structure under which DoD, in collaboration with the DCI, will promulgate policies to assure the adequacy of tactical intelligence and security support for combat operations. Prepares and promulgates planning and programming guidance for intelligence and security support to tactical forces. Insures a sound requirements-oriented basis through close coordinations with DUSD(PR) for systems procurement and resource allocation decisions for tactical (IRA) programs, and reviews strategic (NFIP) program proposals for impact on intelligence support to theater and tactical commanders during peace and war. Develops and promulgates policies and assigns responsibilities for relating theater and tactical requirements to intelligence resource needs. Conducts formal periodic reviews of the tactical intelligence support structure to assure adherence to the principles of strategic and tactical system interface; development of multi-sensor collection systems and platforms; multi-service and, multi-source correlation, integration, and production in the tactical zone and theater of operations. Maintains liaison with congressional staffs and coordinates the Services/ Agencies interaction with the Congress on tactical intelligence activities. Reviews intelligence manpower and training, to include exercise support, to assure an adequate base of knowledgeable tactical intelligence specialists are available to operate the tactical intelligence apparatus in peace, crisis and war. Provides direction for the evolution of a Defense Tactical Intelligence Program, similar to the NFIP, to enhance acquisition and management of essential tactical intelligence resources. Prepares for the exchange of tactical intelligence on a multi-national scale where U.S. forces operate as part of a combined military force.

Directs the formulation of long range plans and forecasts, develops Defense Consolidated Guidance, and manages Defense Planning, Programming and Budgeting with respect to intelligence capabilities which contribute to the support of operational commanders.

DoD Planning Activities. As Director of Tactical Intelligence Systems, incumbent provides integrated planning and Congressional action support

across the intelligence spectrum for the DASD(I) and to ASD(C3I). Originates, integrates, and coordinates the design of an overall Tactical Intelligence architecture involving tactical doctrine/concepts, force interoperability, the threat, command information needs, and complex technical/scientific/ quantitative parameters. As a product of this effort, supervises the development, annual revision and production of the DoD Plan for Intelligence Support to Operational Commanders, and directs the preparation of planning guidance for issuance by the ASD(C3I) to the Services and Defense Agencies relative to their individual tactical intelligence support plans. Performs required coordination and serves as the focal point for DoD, Service, and Defense Agency tactical intelligence-oriented plans and studies. Conducts effectiveness analysis and evaluation of tactical intelligence capabilities and those national capabilities which have military applications. Directs in collaboration with other OSD activities, the DCI, OJCS, the Military Services, Defense Agencies, Unified and Specified Commands, selected Subunified and Component Commands the development of an integrated effort which addresses the tactical intelligence support needs of operational commanders throughout the total spectrum of war. Supervises the concepts formulation and oversees preparation of the DoD Plan for intelligence support to operational commanders, ensuring that interactions between the force structure, the threat, information needs, applicable doctrine, commander's criteria and tactical intelligence capabilities and supporting programs/budgets are considered in the planning process. Chairs DoD Planning conferences, approves agenda and conference results. Coordinates military requirements with the DUSD(PR) and ensures their integration, as appropriate in the DoD Plan. Directs planning initiatives based upon identified system deficiencies or shortfalls using quantitative assessment techniques and methodologies, directs effectiveness analysis and evaluation of individual systems and determines their value to and essentiality within the tactical intelligence architecture. Resolves system tradeoff issues. Develops alternative investment strategies for achieving an improved tactical intelligence posture. Directs inputs to various Defense guidance documents to implement results of analytical efforts.

Programmatic Responsibilities. Incumbent is responsible for all DoD Tactical Intelligence and Intelligence-Related Activities consisting of more than \$2.7B, 55,000 personnel and 150 individual systems. Incumbent serves as the primary source of technical, policy, and management expertise within the Department of Defense (DOD) for all matters involving Tactical Intelligence and Intelligence Related Activities. In this capacity, advises the ASD(C3I), the Under Secretary of Defense for Research and Engineering, and frequently the Deputy Secretary of Defense on major program decisions involving development and acquisition of tactical intelligence equipment and systems critical to the functioning of our forces against the enemy. Incumbent is the focal point in the OUSDR&E for initiating new actions; coordinating the Military Departments' and Defense Agencies' efforts in this mission area, and establishing the

priority and direction of the programs under his cognizance. Directs reviews of tactical intelligence systems and related resources to assure adherence to Defense Tactical Intelligence Planning, future architectural design, efficiency standards, cost effectiveness, and mission accomplishment. Conducts program reviews and provides substantive resource recommendations throughout the PPBS cycle on all tactical intelligence activities, and on those strategic activities which contribute to the satisfaction of the intelligence needs of operational forces. Assesses the military potential, technical feasibility, and employment parameters of all tactically oriented Intelligence and Intelligence Related Activities to assure compatibility with Defense Tactical Intelligence Master Planning. Assures that policies are enunciated and enforced which provide adequate consideration of design criteria for intelligence system survivability during the systems acquisition process. Approves the results of cross-program reviews to insure conformance to standardization and interoperability objectives; joint service use of applicable technologies; and that risks associated with proposed program execution is militarily feasible and technically attainable within milestone and resource allocation constraints. Manages the procedural and substantive development of those portions of periodic OSD program documents as pertain to tactical intelligence including, for example, generating the tactical intelligence input to chapters of the Secretary of Defense's Consolidated Guidance. Reviews planning documents, studies, posture statements, and annual reports for implications concerning tactical intelligence. Maintains close liaison with ODUSD(Policy) to assure translation of functional requirements into programmatic alternatives to be manifested in ASD(C3I) guidance and draft directives. Provides expert technical staff support on major program and policy issues requiring decisions at the highest DoD level. Programs of concern cover a broad spectrum of complex technical fields. These include but are not limited to advanced sensor technology, imagery and SIGINT processing systems, information handling systems and special collection systems used in intelligence-related support to tactical forces. Identifies actual or potential problem areas, trends, significant program accomplishments and/or deficiencies, areas of imbalance and required program adjustments. Directs and participates in the necessary study of key issues. Develops alternate course of action. In this connection, reviews plans, papers and studies submitted by other intelligence agencies and organizations to assure their conformity and compatibility with governing DoD policy and procedures. Also considers the policies of and interacting with certain organizations external to DoD. On the basis of broad policy and resource guidance, establishes specific OSD tactical intelligence objectives and insures that those objectives are accomplished.

Congressional Coordination and Justification. Incumbent is required to maintain continuing interface with the congressional staff to coordinate programs and budget requests regarding Tactical Intelligence and Intelligence Related Activities. Directs the preparation of planning, programming,

and justification documents provided to the Congress on tactical intelligence; provides briefings as requested; responds to inquiries, both formally and informally as required; and monitors and reports on resolution of issues identified by congressional committees within his area of responsibility. Serves as the resident DoD expert on Tactical Intelligence and Intelligence Related Activities and supports the DASD(I), ASD(C3I), DUSD(R&E), Deputy Secretary and Secretary of Defense, as required, in preparing for congressional testimony.

ASD(C³I)

Dr. Gerald P. Dinneen

Capt Frank Carden, USN

LTC John F. Bashore, USA

Mrs. Sharron Kramer

Mrs. Judy Coppin

<u>Civ</u>	<u>Mil</u>	<u>Total</u>
69/64	15/15	84/79*
3/3	2/2	5/5

*Note status figures: billets authorized/on board

Civ Mil Total

Principal Deputy ASD(C3I)

Dr. Harry L. Van Trees
Col Richard B. Clement, USAF
Special Assistant Vacancy
Mr. Craig Wilson

6/5 1/1 7/6

Mrs. Louise Ensminger
Miss Colena Jo Rogers
Mrs. Ann Gillenwater

DASD(Programs & Resources)

Mr. Kenneth B. Cooper

2/2 0/0 2/2

Miss Joanne Petras

Dir, C³ Resources

Dr. Alden P. Sullivan
Mr. Nat Cavallini
Mr. Dennis Litchfield

4/4 0/0 4/4

Mrs. Carol Katawczik (maternity Leave 26 Sep 80 - 9 Jan 81)

Detailed from DCA

Mr. Howard Porter
Mrs. Sylvia Helms
Mrs. Polly Hoag

Dir, Intelligence Resources

Mr. James Mayer
Mr. Norman Ghisalbert
Mrs. Claudia Scruggs
Mr. Alex Buinickas

5/5 0/0 5/5

Miss Deborah Mannherz

Dir, C³ System Evaluation

Dr. Stuart Starr (to report 7 Dec 80)

1/1 0/0 1/0

DASD(C³)

	<u>Civ</u>	<u>Mil</u>	<u>Total</u>
Dr. Thomas P. Quinn	2/2	0/0	2/2

Mrs. Yolanda Beach

Dir, Theater and Tactical C²

Mr. John C. Cittadino	7/5	3/3	10/8
Professional Vacancy - Mr. Richard Howe selected, transfer date TBD			
Mr. Dennis C. Marquis			
Col Stephen W. Gilbert, USAF (replaced by LtCol John Martel, USAF)			
Col Jonathan Myer, USAF			
Professional Vacancy - moved from Tactical Intelligence Systems			
LTC Frank McLeskey, USA			
Mrs. Rita Kibler			
Mrs. Virginia Hug			
Ms. Pat McNellis			

Dir, Electronic Warfare and C³ Countermeasures

Mr. John M. Porter	3/3	1/1	4/4
Capt James H. Eckart, USN			
Mr. William Lewis - on board, approval package at OPM			
LtCol Herman Arnold, USAF (on loan)			

Mrs. Louise Martoncik

Dir, Information Systems

Mr. Stephen T. Walker (Acting)	5/4	1/1	6/5
Mr. Rudolph Sgro			
LtCol John Lane, USAF			
Professional Vacancy (to move to T ² C ²)			

Mrs. Mary L. Gober

Mrs. Barbara Lawhorn

Dir, Communications Systems

Mr. George Salton	8/8	2/2	10/10
Mr. Albert G. Facey			
Mr. Andrew Hartigan			
Mr. Norman Gray			
Capt Jerry Stump, USN			
Col Jackie Manbeck, USA			
Mr. Richard Howe - to move to T ² C ² , date TBD			

Mrs. Sally Dimond

Mrs. Patricia Roberts

Mrs. Margaret French

DASD(C³) (Continued)

Dir, Strategic C²

	<u>Civ</u>	<u>Mil</u>	<u>Total</u>
Dr. Robert D. Turner (Acting)	5/5	2/2	7/7
Dr. Dale Hamilton			
Mr. Reynold Thomas			
Col John Frishett, USAF			
LtCol Robert Leahy, USAF			

Mrs. Sandra Sims
Mrs. Rachel Ellis

DASD(Technical Policy and Operations)

Mr. David Solomon	6/6	0/0	6/6
Mr. Walter Coari			
Mr. Paul Cahan			
Mr. William J. Cook			

Miss Harriet Freedman
Mrs. Evelyn Robbins

DASD(Intelligence)

Dr. James H. Babcock	2/2	0/0	2/2
Mrs. Marjorie E. Holloway			
Mr. Richard Baer (on loan from IC Staff)			

Dir, National Intelligence Systems

Dr. Anthony J. Tether	4/4	0/0	4/4
Mr. Ronald J. Goldstein			
Mr. Victor E. Jones			
Mr. Larry Castro (on loan from NSA) (departed - replacement not yet selected)			

Miss Julie L. Mikovits

Dir, Tactical Intelligence Systems/Dir, Reconnaissance
Surveillance and Target Acquisition

Mr. Charles Hawkins	6/6	3/3	9/9
Mr. Michael I. Keller			
Miss Janet Burner			
Mrs. Gail Moore			

Programs Division

Capt Harvey E. Fisher, USN
LtCol Andrew Lechance, USAF
Mr. Lauren Larson

<u>Civ</u>	<u>Mil</u>	<u>Total</u>
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DASD(Intelligence) (Continued)

Plans Division

Col Charles E. Schmidt, USA		
Mr. Gerald F. Kozlowski (on loan from NSA)		-
Mr. Robert R. Darron (on loan from MITRE)		
Mr. Earnst Liska		

~~CONFIDENTIAL~~

C³I RESOURCES*
FY 1980, 81, 82 and FY 1982-86
(\$ Billions)

Source: October 1980
FYDP Extract for
C³I by Mission area
23 October 1980

PrepBy: C³ Resources
OASD(C³I)
5 December 1980

~~CONFIDENTIAL~~

Classified by OASD(C³I), C³ Resources
Declassify on: 31 December 1987

CONGRESSIONAL CONTACTS FOR ASD(C³I)

House Armed Services Committee (HASC)

Chairman - Melvin Price
Staff Director - John Ford
Chairman, R&D Subcommittee - Harold Runnels (next senior after Mr. Ichord-retired)
Staff member - Anthony Battista (C³&I)
Staff member - Thomas Cooper (C³)

Senate Armed Services Committee (SASC)

Chairman - John Tower (new)
Chairman, R&D Subcommittee - John Warner (new)
Staff member - George Riedel (old) (C³& I)
Staff member - George Foster (old) (C³)

House Permanent Select Committee on Intelligence (HPSCI)

Chairman - Edward P. Boland
Chairman, Program & Budget Authorization Subcommittee - unknown (Mr. Burleson defeated)
Staff member - Jim Bush (former member ASD(I))

Senate Select Committee on Intelligence (SSCI)

Chairman - Barry Goldwater (new)
Chairman - Budget Authorization Subcommittee - unknown (Sen Inouye former Chairman)
Staff member - Daniel Childs (old)

House Appropriations Committee (HAC)

Chairman - James Whitten
Chairman, Defense Subcommittee - Joseph Addabbo
Principal Staff Assistant - Ralph Preston
Staff member (C³) - John Plashal
Staff member (I) - Pete Murphy
R&D staff member (EW) - Robert Seraphin

Senate Appropriations Committee (SAC)

Chairman - Mark Hatfield (new)
Minority Counsel (old) - Joel E. Bonner
Chairman, Defense Subcommittee - Ted Stevens (new)
Principal staff member - Fred Rhodes (C³&I) (old)
R&D staff member - Doug Allen (C³) (old)

Defense Communications Agency (DCA) - The Director of DCA reports to the ASD(C³I) as shown in Tab A. In addition, the Joint Chiefs of Staff are authorized to task the Director, DCA. Present director: LTG William J. Hilsman.

WWMCCS System Engineer (WSE) - The WSE is part of DCA. There is extensive direct technical interface between WSE and the office of the ASD(C³I). Present WSE: David R. Israel

Military Satellite Communications Office (MSO). The MSO office is in DCA. The office of the director is presently vacant.

National Security Agency (NSA) - A discussion of the relationship between NSA and the Department of Defense is contained in the separate Intelligence program book. The present incumbent is Vice Admiral Bobbie Inman.

Director of Central Intelligence (DCI) - The Office of the Deputy Under Secretary for Policy (Policy Review) and the office of ASD(C³I) both deal extensively with the staff of the Director of Central Intelligence and support the Secretary of Defense in his direct relations with the DCI. The present DCI is ADM Stansfield Turner.

Joint Chiefs of Staff (JCS) - Very recently a new directorate in the Office of the JCS was formed entitled Command, Control, and Communications Systems (C³S). The Office of ASD(C³I) deals directly with the C³S directorate particularly in matters relating to C³ requirements and priorities. The present incumbent is Lieutenant General Hillman Dickinson.

Councils, Committees and Boards

- o Defense Systems Management Policy Guidance Council
- o WWMCCS Council
- o Telecommunications and Command and Control Council
- o Defense Systems Acquisition Review Committee
- o Defense Space Operations Committee
- o Joint Reconnaissance Committee
- o Defense Science Board
- o National Communications Security Board
- o National Foreign Intelligence Board
- o Various NATO Committees and Working Groups

~~TOP SECRET~~

(FOI)

C³I Program Management Structure
and
Major Programs (U)

December 10, 1980

THIS PAGE UNCLASSIFIED

Classified by USDR&E(ASD/C3I)
Declassify on _____
Review on 10 December 2000
Extended by USDR&E(ASD/C3I)
Reason 1,3,4,5,7

USDRE: 75-221-90

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Introduction

The organization and functions of the Office of the Assistant Secretary of Defense (Communications, Command, Control, and Intelligence) were described in Volume I. In this volume, the C³I program management structure and the major programs are described. The total C³ program, which includes approximately 400 programs with a budget of about \$13 billion in FY 82, is discussed in this volume.

In order to carry out our responsibilities to manage these programs, we use a mission area structure. The four major mission areas are:

- a. Strategic C³I
- b. Theater and Tactical
- c. Defense-wide C³I Support
- d. Consolidated Defense Intelligence

Figure 1 shows the major mission area structure with representative programs.

Although the detailed nature of the C³I varies according to the mission area, there is a fundamental structure that is common throughout. The three basic components of C³I systems are:

a. Command Centers, in which command decision-makers and their staffs evaluate information on enemy actions and the status of friendly forces and provide direction to the forces for accomplishment of assigned objectives;

b. Sensor Systems, which provide warning of enemy attacks, intelligence on enemy forces, assessments of enemy actions and own-force strikes, and targeting data for use by own-force firepower; and

c. Communications Systems, for conveying information from sensor systems to command centers, interconnecting command centers for coordination of operations, and transmitting orders from command centers to the forces.

The operation of the C³ portion of C³I is depicted in Figure 2. The surveillance and warning sensors detect activity in the surveillance area. The sensor data is communicated to a command center where it is analyzed, correlated with other information, and a decision is made. The decision is then communicated to the forces by another communications system and the forces respond. The resulting situation is sensed by the sensors, the data communicated back to the command center and the cycle repeats.

A fourth component, Automatic Data Processing, is frequently an integral part of the first three. Special-purpose or general-purpose computers are employed at sensor sites to reduce raw data to relevant information; in communications systems to expedite routing of messages, facilitate

C³I MISSION AREA OVERVIEW

Strategic C³I

Command & Control

E-4 Adv Abn Comd Post
National MIL Comd Sys
Post-Attack Comd &
Cont Sys (PACCS)

Communications Systems

AFSATCOM
TACAMO
SACDIN

Surveillance & Warning

Defense Support Program
- Mobile Grnd Terminals
DMCS/PARCS/DEW
OTH-B
Space Surveillance
IONDS

Information Systems

MMCCS Info Systems
Computer Security
WIN

Theater & Tactical C³I

Command & Control

E-3A/NATO AWACS
Jt Crisis Mgmt Capability
JINTACCS
IFF

Communications Systems

TNF Communications
TRI-TAC
JTIDS
SEEK TALK
SINCGARS-V
PLRS
PLRS/JTIDS Hybrid

Recce, Surv & Tgt Acq

TR-1/GUARDRAIL
Tactical Fusion (DETA)
E-2C
PLSS

EW and Counter C³

EF-111A
ASPJ
EA-6B

Defense-Wide C³I Support

Navigation & Position Fixing

NAVSTAR Global Positioning System
Microwave Landing System

Communications Systems

DSCS II, III
Secure Voice Improvement Program
Defense Communications Sys (DCS)
European Telephone System
Base & Support Comm - DMATS
AUTODIN II

Consolidated Defense Intelligence

National Foreign Intelligence Prog

Consolidated Cryptologic Program
General Defense Intelligence Program
Classified Programs

Indications and Warning

IIARA (Tac Intell & Related Activities)

TCP (Tac Cryptologic Prog)
DRSP (Defense Reconnaissance Supt Program)

Figure 1

C³ System

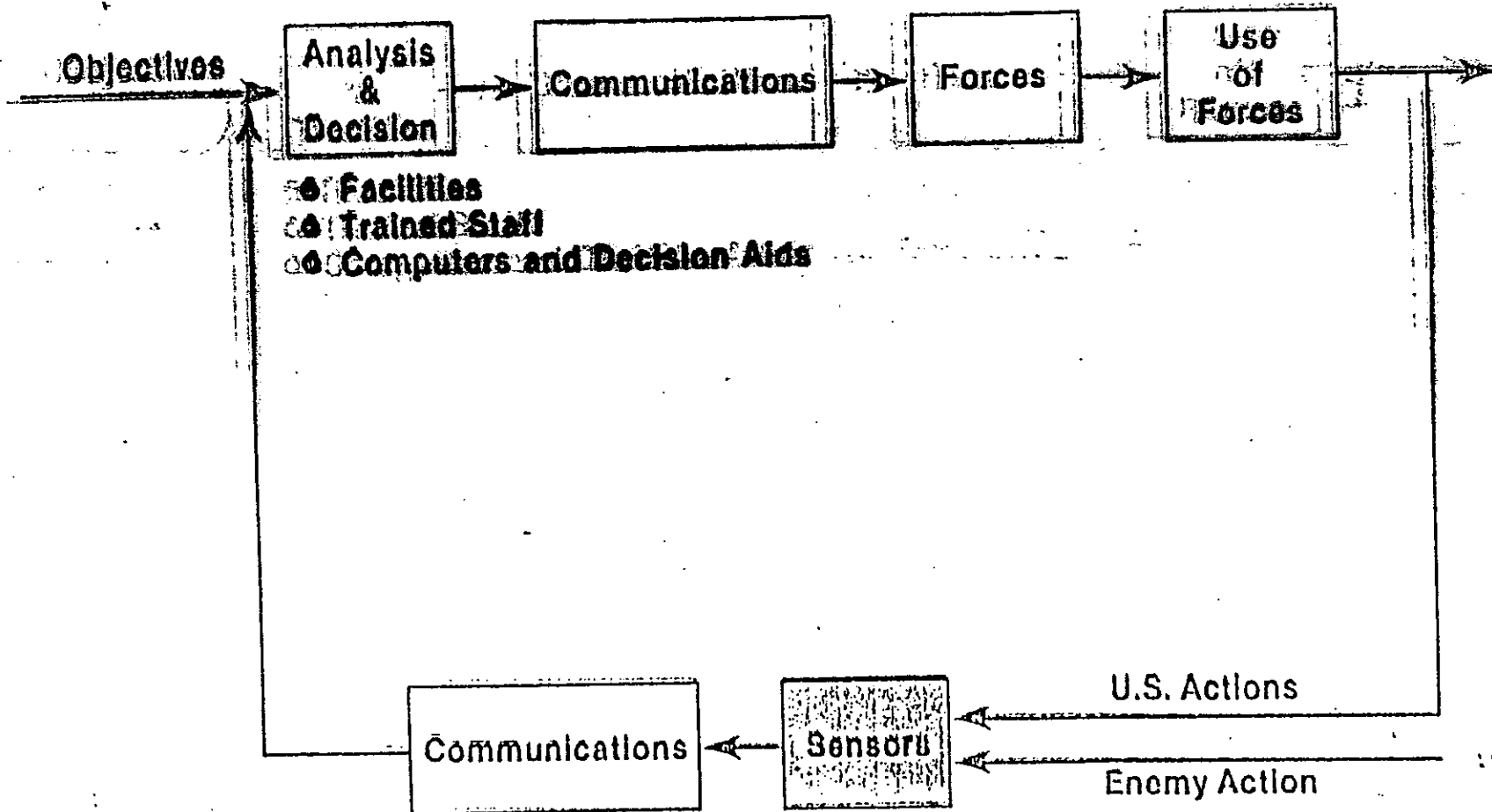


Figure 2

transmission of information and orders, and support interactive data exchanges between command centers; and within command centers to aid in assimilation, integration and evaluation of sensor inputs, storage and retrieval of force status and other operational data, and generation of orders.

These functional components of C³I systems must possess certain key attributes, albeit in varying degrees over the major mission areas:

- o A high degree of coordination must prevail between command centers involved in interrelated military operations, but the command and control capability must be sufficiently distributed to provide resilience in the event that command nodes are destroyed by enemy action.

- o Communications and sensor systems must be resistant to jamming and deceptive countermeasures and secure against exploitation by adversary SIGINT activities.

- o Automatic data processing must be reliable, of adequate capacity to meet surge needs, and responsive to changing operational concepts and situations.

Collectively, C³I systems must support timely and effective military operations and efficient utilization of defense resources. Together with means to exploit, confuse, and disrupt adversary C³I capabilities, systems with these attributes can do much to offset an unfavorable numerical force imbalance.

Strategic C³I systems are used for control and direction of our strategic nuclear forces. Given the nature of global nuclear conflict, strategic C³I must meet the most rigorous standards for reliability, survivability, and endurance. Strategic command centers are involved in and must directly support decision-making, under conditions of extreme stress and urgency, by the highest echelon of command--the National Command Authorities (NCA). Strategic surveillance and warning systems (including associated automatic data processing and communications) must provide extremely reliable and timely detections of the onset of nuclear attack, to enhance the survivability of strategic forces and the means to direct them, and to support selection by the NCA of the most effective response option. Collateral missions include space surveillance and detection and characterization of nuclear detonations.

Strategic communications must provide for rapid and certain delivery of Emergency Action Messages to the strategic forces; report-back from the forces, and support reconstitution of forces and command entities following an initial attack.

The implementation of strategic C³I systems reflects great emphasis on survivability and endurance, through the use of mobility, redundancy, diversity, and proliferation of the basic functional capabilities, and through testing and incorporation of features to enhance resistance to the effects of nuclear detonations. With the evolution of nuclear weapons employment policy and the increasing sophistication of nuclear weapon delivery systems, even greater emphasis will be needed to assure that strategic C³I systems make a positive contribution to deterrence.

5

The Theater and Tactical C³I systems encompass a broad collection of C³I and equipments essential to the control of a modern, integrated, mobile, and effective force. The theater C³ mission is to provide a link between the National Command Authorities through the chain of command to the senior tactical commander (typically at the Army Corps, Air Force Wing, and Navy Battle Group level). In terms of command this link can be through allied command headquarters such as NATO or through intervening U.S. headquarters such as RQJTF. In either case, intelligence and administrative/logistic information may be provided directly to the tactical commander.

Our theater C³I initiatives emphasize survivability of essential command and control functions and improved capabilities for participation in multinational operations in support of alliance commitments. Although we do provide some permanent, hardened command centers, we prefer to have mobile (air and ground) command centers which are less vulnerable to enemy targeting and sabotage. We are concentrating on major improvements in three areas: (1) rapidly deployable C³ capability - Joint Crisis Management Capability (JCMC); (2) command and control of our Theater Nuclear Forces (TNF); and (3) C³I support for the Rapid Deployment Force. Each of these programs is heavily oriented toward providing survivable, jam resistant, secure communications to insure the rapid, accurate interchange of critical command and intelligence information under highly stressed conditions. Improvements are also being sought in handling the expected large volume of traffic through the introduction of automated aids. Theater-level sensor support comes primarily from the national program and the tactical sensors. An exception is the NATO AWACS which provides surveillance with its radars as well as command and control of aircraft.

The principal objectives of the tactical C³I programs are: (1) to provide tactical commanders of all Services, at all echelons, with the right information at the right time to help him make the right decisions, and (2) to disrupt the enemy in their ability to command and control. Tactical command and control centers are all mobile. Within C³I our task is to provide the communications, the sensor and intelligence inputs, and the means for handling the data. In tactical communications two major objectives are to achieve security and to improve jam-resistance for all battlefield radios. Because of the increased demands of the modern battlefield for timely, accurate information, we are emphasizing automated data tactical systems which are mobile/transportable, rugged and survivable. We continue to stress improved interoperability between the Services and with the forces of our allies. The tactical C³I sensors are related to the tasks of reconnaissance, surveillance, and target acquisition. Our objective is to select a balanced mix of imagery sensor and signal intelligence systems that will compliment each other in accuracy and distance comparable to newly introduced weapon systems. We are using ADP to help the tactical commanders correlate the high volume outputs of this sensor mix. For example, a joint tactical fusion system is being initiated as a follow-on to the BETA test bed program.

In an inverse manner, the electronic warfare and counter-C³ systems fit into the three C³I basic components mentioned earlier: command centers, communications, and sensor systems. EW and counter-C³ can disrupt the operation of an enemy's command centers and communications systems and seriously interfere with the use of his sensors against our forces.

The Defense-wide C³I programs support, as the name suggests, our strategic and our theater and tactical C³I responsibilities. We do not label any command centers as defense-wide, although in fact we would use some of the same centers we list in the strategic and theater and tactical command and control. The defense-wide C³I systems must support the command function between all echelons and have flexibility to cope with evolving threats and be consistent with planned force composition and employment. Our navigation and position-fixing systems are designed to provide accurate, secure, jam-resistant, all-weather/all-hours information needed for precise world-wide control of forces. These same systems support our sensor systems as well as our weapon system with a common grid for reconnaissance, surveillance, and targeting functions.

In the defense-wide communications area, our objective is to provide world-wide jam-resistant secure systems that are resistant to nuclear effects. We have systems using satellites, such as the Defense Satellite Communications System (DSCS) and extensive terrestrial systems. Base and support communications and the defense-wide COMSEC program complete this mission area.

The first three major mission areas are covered in this volume. The Consolidated Defense Intelligence mission area is in Volume III. This mission area contains the National Foreign Intelligence Program (NFIP) which is under the Director of Central Intelligence (DCI). The relationship between the National Intelligence Program and DoD C³I program is discussed in Volume III. We have worked closely with the DCI and the Intelligence Community Staff in developing the plan for providing national intelligence support to operational commanders. The second major element in this area is the program to provide intelligence support to the tactical commanders.

Figure 3 shows the FY 81 budget request broken down by mission areas.

Sections B through E of this volume describe the mission areas and the major programs briefly. There are briefings and/or detailed plans available to amplify the various topics.

There is a particular set of C³ programs that will require senior management attention in the first half of 1981. These programs are summarized in Table 1.

C³I RESOURCES BY MISSION AREA

FY 81 Budget Request - \$11,303M
(\$ Millions)

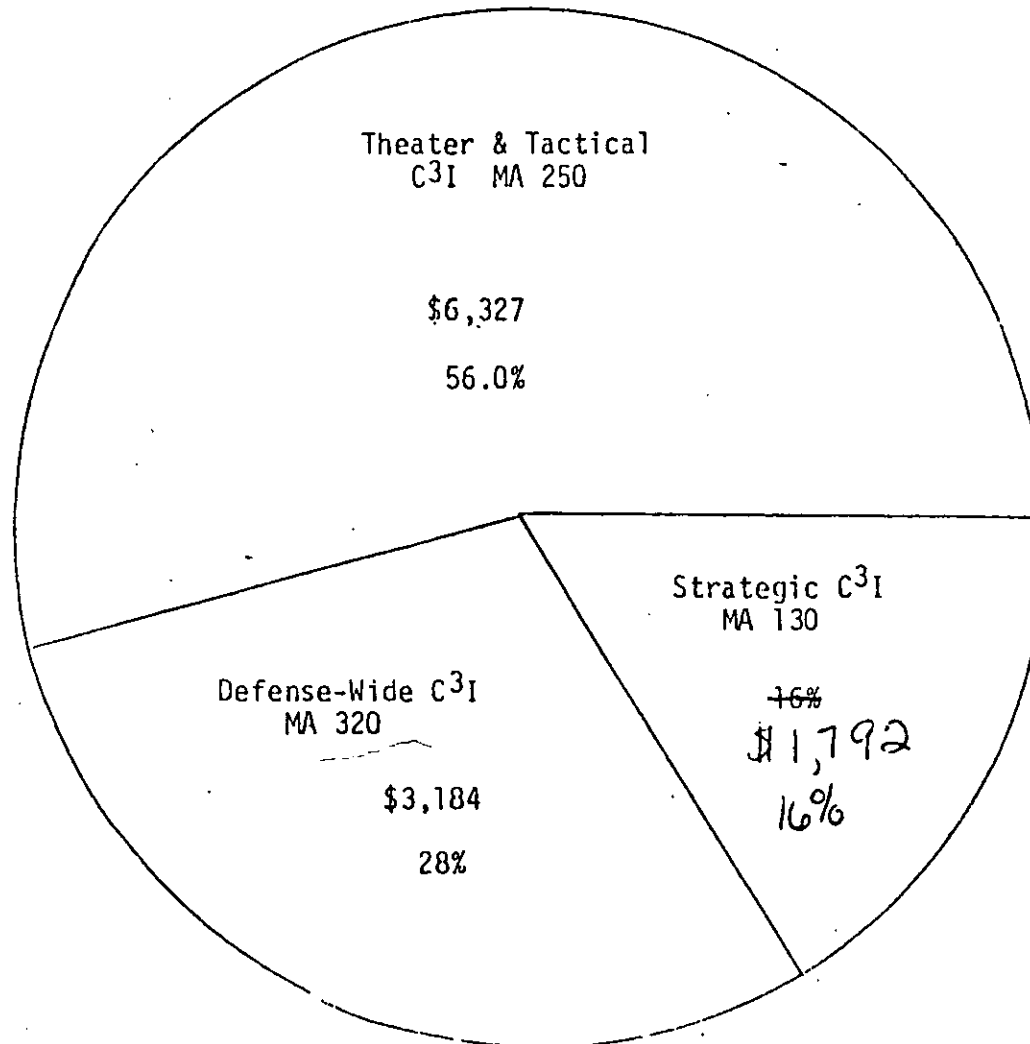


Figure 3

Table 1

C³ Programs Requiring Action in the First Half of 1981

Strategic

1. Missile Warning and Attack Assessment
2. WWMCCS ADP and Intercomputer Network Upgrades
3. The Strategic Satellite System
4. Survivable and Enduring C³ Program
5. CONUS Air Defense
6. IONDS
7. TACAMO Follow-on

Theater and Tactical

1. Joint Tactical Information Distribution System (JTIDS)
2. Joint Tactical Fusion Center
3. TNF C³ Improvement Program
4. IFF
5. LEASAT
6. TR-1 and ASARS
7. Precision Location Strike System (PLSS)
8. UHF Anti-Jam Radios

Defense-wide

1. Secure Voice Improvement Program (SVIP)
2. AUTODIN II
3. Defense Satellite Communications System (DSCS) II and III

General

1. Implementation of PD-53
2. Implementation of PD-58
3. Military Communications Satellite Architecture
4. NATO C³I

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STRATEGIC COMMUNICATIONS, COMMAND, CONTROL & INTELLIGENCE (C³I); MISSION AREA 130

(U) This major mission area (MA) addresses those capabilities required to provide survivable, reconstitutable, and secure means for management of the strategic nuclear forces and for technical support of operations of these forces prior to, during, and following global nuclear conflict. The major MA includes the following MA's:

- MA 131 -- Strategic Command and Control
- MA 132 -- Strategic Surveillance and Warning
- MA 133 -- Strategic Communications
- MA 134 -- Strategic Information Systems

(U) Activities closely related to this MA include the airborne command posts of CINCEUR, CINCLANT, and CINCPAC, which provide survivable adjuncts to ground-based command and control facilities for direction of SIOP forces in these commands. The programs are currently assigned to MA 251 -- Theater Command and Control, MA 251.b -- Mobile Facilities.

(U) Table 1.01 provides past, current, and future budget data for MA 130. Further detail on MAs 131-134 and major programs is given in the following sections and in the Annex. Table 1.02 provides funding data for MA 251b.

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(U) These issues emanate from PD-59, and a detailed discussion of it is furnished subsequently (see "C³ Support for PD-59). In addition, a comprehensive briefing, prepared for the National Security Council Staff, is available.

Major Plans.

WWMCCS Five Year Plan
Joint Strategic Planning Document (JSPD), Annex C.

~~SECRET~~

TABLE 1.01

MA 130 -- Strategic Command and Control, Communications, and Intelligence* (\$ Millions)

	<u>FY 80</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FY 83</u>	<u>FY 84</u>	<u>FY 85</u>	<u>FY 86</u>
R&D	150.9	385.8	495.8				
Investment**	561.7	627.4	803.1				
Operations***	635.3	778.9	901.0				
Total Obligational Authority	1,447.9	1,792.2	2,199.8				
Manpower****	14,359	14,734	14,790				

* Data in this and subsequent fiscal tables are as of 29 September 1980.

** Investment includes funds in the following accounts: Aircraft Procurement, Missile Procurement, Other Procurement, Military Construction.

*** Operations includes funds in the following accounts: Operation and Maintenance, Military Personnel.

**** Manpower includes Civilian US Direct Hire as well as Active Military Manpower.

TABLE 1.02

MA 251b -- Theater Command and Control -- Mobile Facilities* (\$ Millions)

	<u>FY 80</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FY 83</u>	<u>FY 84</u>	<u>FY 85</u>	<u>FY 86</u>
Investment**	-	1.0	1.8				
Operations***	<u>31.4</u>	<u>37.0</u>	<u>40.7</u>				
Total Obligational Authority	31.4	38.0	42.5				

*Funding is for CINCEUR, CINCLANT, and CINCPAC airborne command posts.

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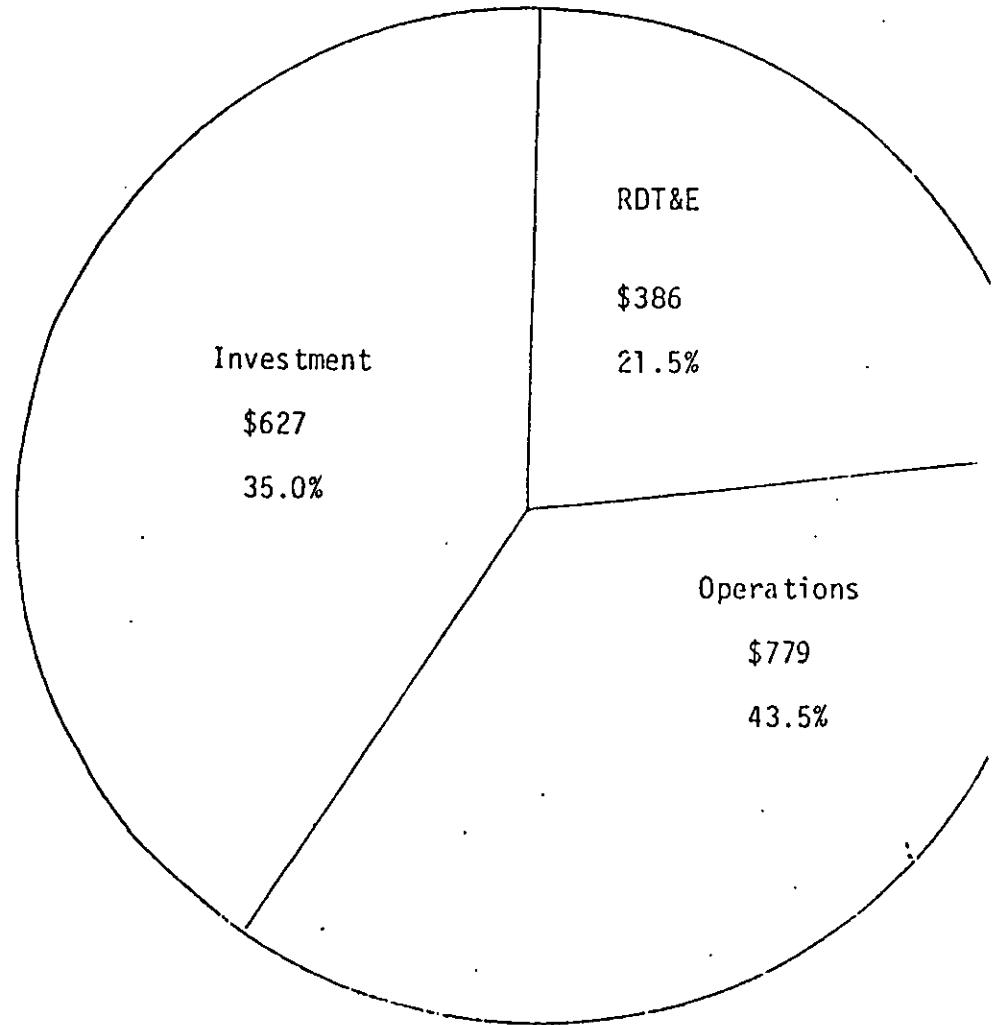
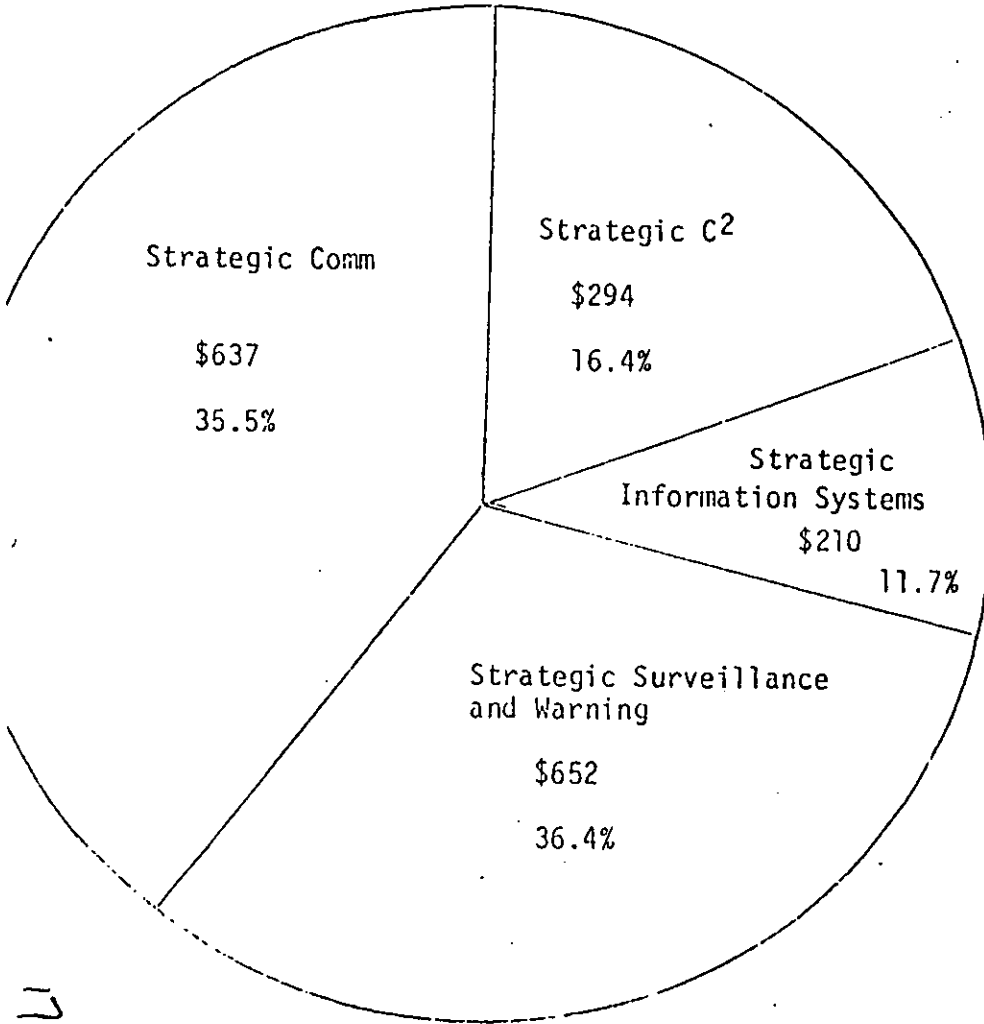
TABLE 1.03

MA 325b, ARCHITECTURAL SUPPORT AND EVALUATION

	<u>FY 80</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FY 83</u>	<u>FY 84</u>	<u>FY 85</u>	<u>FY 86</u>
R&D	36,767	50,853	82,593				
OPS	<u>6,710</u>	<u>7,573</u>	<u>7,983</u>				
Total Obligational Authority	43,477	58,426	90,576				
Manpower	59	65	75				

STRATEGIC C³I

FY 81 Budget Request - \$1,792M
(\$ Millions)



17

Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

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OASD(C³I)
C³ Resources

1.1 MA 131 -- Strategic Command and Control

(U) Description. The strategic command and control mission area deals with the systems and procedures required to provide a survivable and enduring (or reconstitutable) command and control capability for the National Command Authorities, the Joint Chiefs of Staff, and the Unified and Specified Commands. Included in this mission area are fixed and mobile command facilities and their associated subsystems and staffs needed for informed, timely and flexible decision making and the direction of strategic offensive and defensive forces.

(S) Budget Profile (\$ Millions)

(U) List of Major Programs. Major programs in this mission area are the E-4B Advanced Airborne Command Post Program and the up-grade of the EC-135 Airborne Command Post aircraft (HEMP-hardening and UHF-FDM replacement). Other programs, in the Strategic Communications missions area, are directly supportive of (and essential to) this mission area.

(U) Major Plans

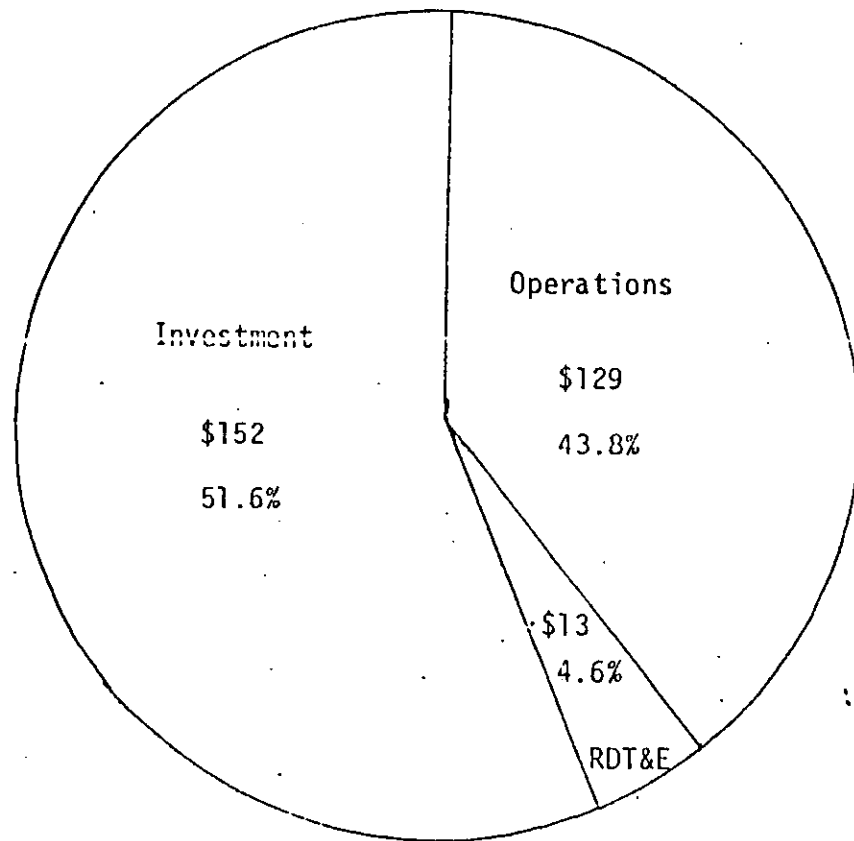
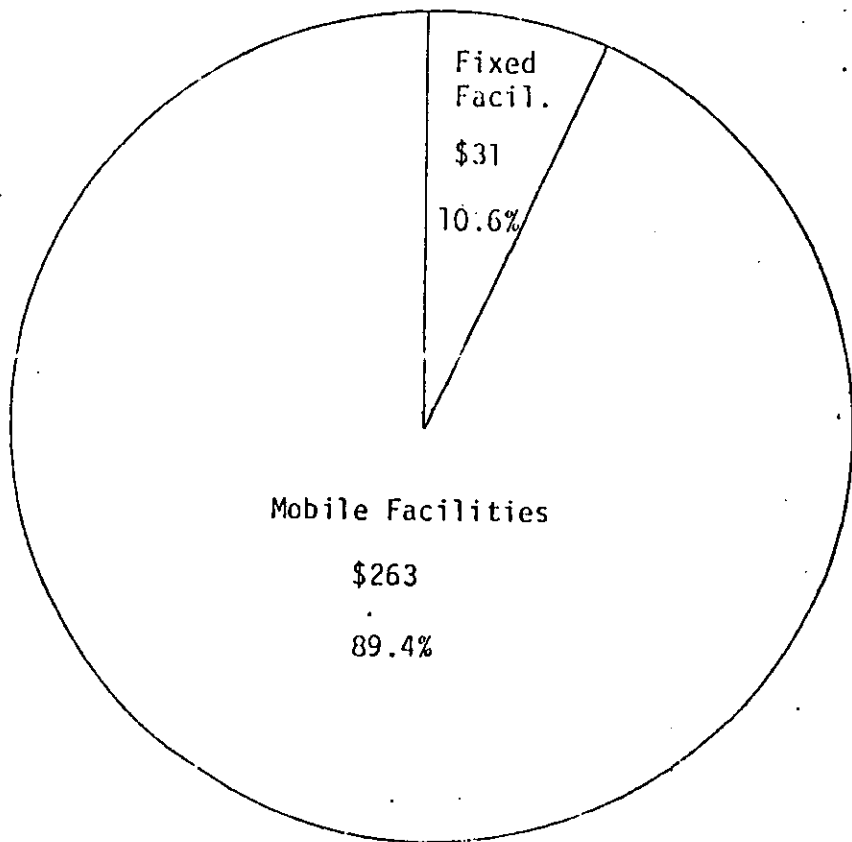
- WWMCCS Architecture and WWMCCS Selected Architecture
- NMCS FYMOP
- WWMCCS Five-Year Plan
- E-4B ABNCP Improvement Plan (in preparation)

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MISSION AREA 131

STRATEGIC C2

FY 81 Budget Request - \$ 294M
(\$ Millions)



b1

Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

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OASD(C³I)
C³ Resources
5 Dec 80

Strategic C² Mission Area 131

Funding Summary*

		(\$ Millions)	
		<u>FY 1981</u>	<u>FY 1982</u>
131	a. <u>Fixed Facilities</u>		
	NMCC	3.0	4.8
	ANMCC	6.4	6.8
	NMCS-Wide Support	21.6	28.0
		(31.0)	(39.6)
	b. <u>Mobile Facilities</u>		
	PACCS	229.7	207.3
	NEACP	32.9	35.5
		(262.6)	(242.8)
	Total 131	293.7	282.4

Totals may not add due to rounding

* Includes all program elements except partials

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PROGRAM: E-4B Advanced Airborne Command Post

BACKGROUND: (C)

DESCRIPTION: (S)

<u>FUNDING:</u> (\$ - Million)	<u>81</u>	<u>82</u>	<u>FYDP</u>	<u>Total</u>
RDT&E	7.1	3.4		
Procurement	145.4	111.6		
O&M	-	45.9		
MILCON	-	-		

MILESTONES:

DSARC III in May 1980
1st E-4B delivered in January 1980 (IOC)
3rd E-4B delivered in May 1984 (NEACP FOC)
6th E-4B delivered in 4th Quarter, CY 1986 (CINCSAC FOC)

ISSUES:

- o Technical -- None
- o Congressional -- None
- o Funding -- In Basic Level (Band 2)

~~SECRET~~

~~SECRET~~

E-4B Advanced Airborne Command Post (Continued)

~~SECRET~~

DATE: 9 December 1980
DIRECTOR: Dr. Turner :'
ACT OFFICER: N/A

PROGRAM: (U) EC-135 Airborne Command Post Improvements

MILESTONES:

- (U) EMP-hardening expected to begin in FY 82 (five-year program).
- (U) UHF-FDM replacement could begin in FY 83 (five to six year program).

ISSUES:

DECISIONS:

~~SECRET~~

101
23

DATE: [REDACTED]
DIRECTOR: [REDACTED]
ACT OFFICER: N/A

PROGRAM: (u) Survivable & Enduring
C3 Support for PD-59

DESCRIPTION: (S)

USDR: 61221-812

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- (TS)

- (TS)

(S)

(U) The critical command & control aspects of PD 59 as related to post attack environment are being examined through a program of the WWMCCS System Engineer entitled "Enhancing Post Attack WWMCCS". This is an architectural and research and development program intended to identify and evaluate improvement alternatives concerning the survivability and endurance of the WWMCCS following an attack on the United States. These programs focus on those WWMCCS assets which are required for generation, control and employment for effective force management in the trans- and post attack environment.

FUNDING: (S) /

~~TOP SECRET~~
~~TOP SECRET~~

MILESTONES: N/A

ISSUES: (S) /

DECISIONS: (U) Decisions on both the programmatic and the requirements/concepts classes of issues are required within the next year. Most of the needed C3 improvement actions are multi-year efforts, and must be initiated very soon if we are to have even a small proportion of these improvements available in the highly critical 1985-1990 time frame.

Major Plans.

CINCSAC Connectivity Study
CNO Connectivity Study
DSB Study on Survivable and Enduring C3

~~TOP SECRET~~

A. Description (U)

(S)

B. Budget Profile (U) |

(S) |

C. Major Plans

- o Missile Attack Warning Master Plan
- o WWMCCS Five-Year Plan
- o DOD Plan for North American Air Defense (in preparation)

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SECRET

MA 132 STRATEGIC SURVEILLANCE AND WARNING, PLUS MA 133, SURVEILLANCE AND WARNING COMMUNICATIONS (\$000)

	<u>FY 80</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FY 83</u>	<u>FY 84</u>	<u>FY 85</u>	<u>FY 86</u>
R&D	107,692	163,484	247,206				
INV	142,020	202,378	373,817				
<u>OPS</u>	<u>228,445</u>	<u>285,984</u>	<u>327,998</u>				
Total Obligational Authority	478,157	651,846	949,021				
Manpower	2255	2248	2207				
<u>MA 132a MISSILE ATTACK WARNING</u>							
R&D	45,260	98,100	184,807				
INV	132,231	189,719	344,530				
<u>OPS</u>	<u>115,410</u>	<u>142,570</u>	<u>149,641</u>				
Total Obligational Authority	292,901	430,389	678,978				
Manpower	1869	1783	1744				
<u>MA 132b, AERODYNAMIC THREAT WARNING</u>							
R&D	13,900	13,300	26,103				
INV	-	-	-				
<u>OPS</u>	<u>69,453</u>	<u>81,895</u>	<u>97,034</u>				
Total Obligational Authority	83,353	95,195	123,137				
Manpower	64	64	64				
<u>MA 132c, SPACE SURVEILLANCE</u>							
R&D	48,352	52,084	36,296				
INV	9,789	12,659	29,287				
<u>OPS</u>	<u>38,090</u>	<u>54,411</u>	<u>72,030</u>				
Total Obligational Authority	96,411	119,154	137,613				
Manpower	203	227	243				

MA 132 STRATEGIC SURVEILLANCE AND WARNING, PLUS MA 133, SURVEILLANCE AND WARNING COMMUNICATIONS (CONTINUED) (\$000,

MA 132d*, NUCLEAR DETONATION DETECTION

	<u>FY 80</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FY 83</u>	<u>FY 84</u>	<u>FY 85</u>	<u>FY 86</u>
R&D	-	12,100	4,602				
<u>INV</u>	<u>-</u>	<u>-</u>	<u>16,888</u>				
Total Obligational Authority	-	12,100	21,490				

*NFIP activity; shown for reference purposes; not included in MA totals.

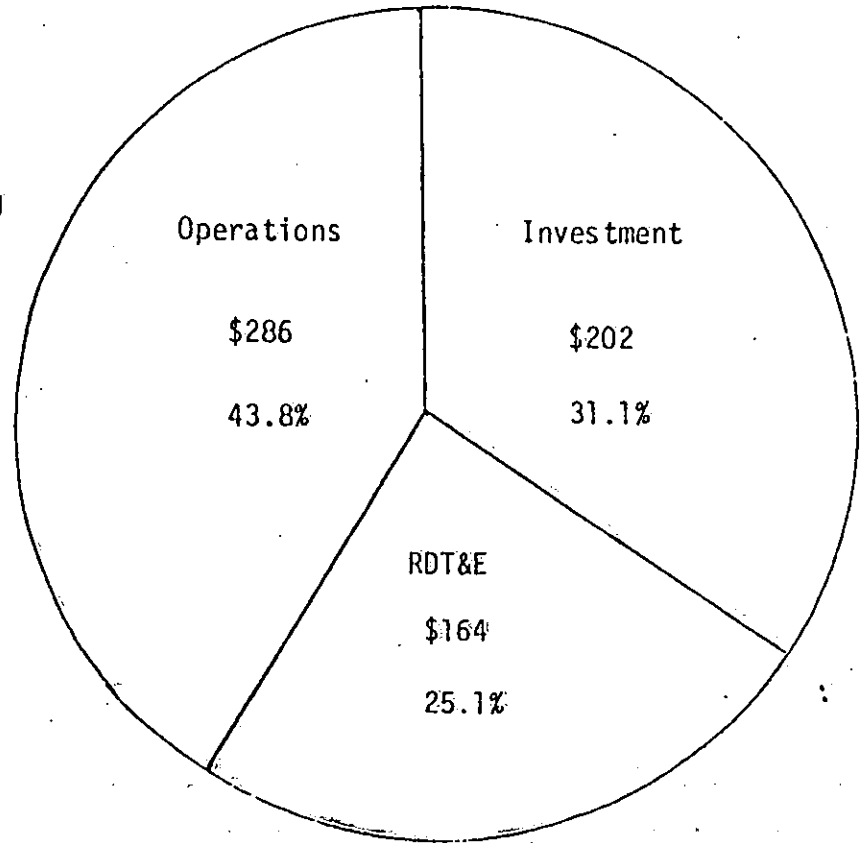
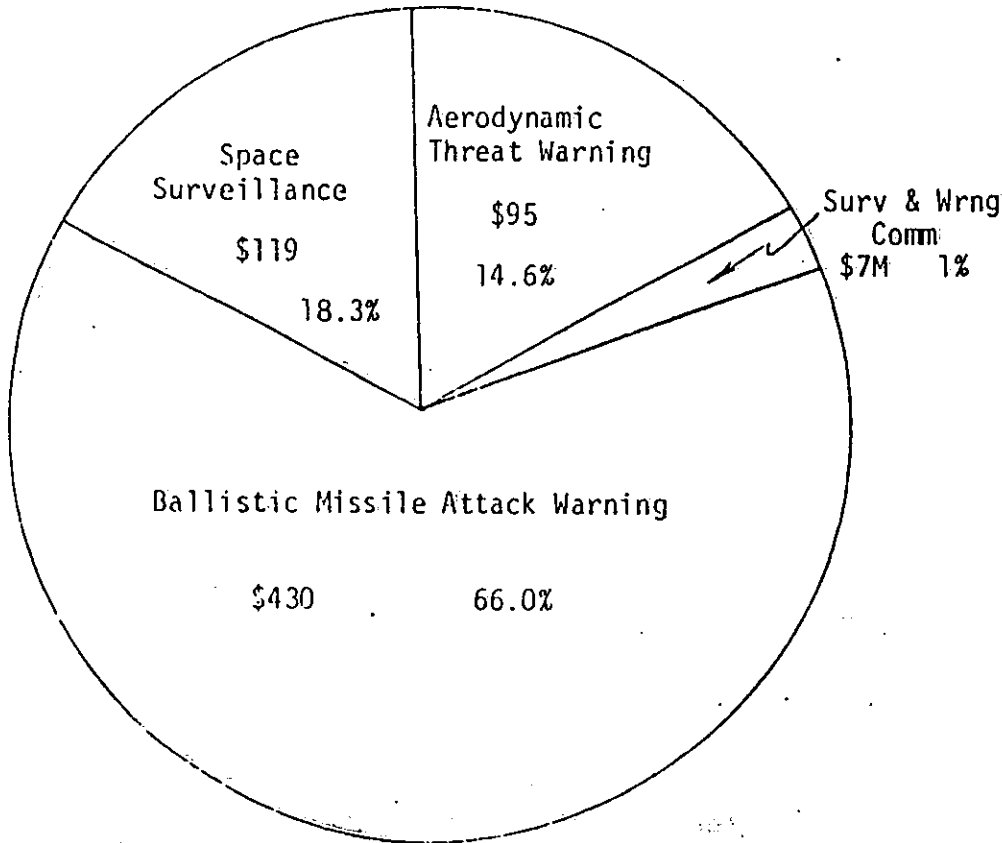
MA 133C, SURVEILLANCE AND WARNING COMMUNICATIONS

<u>OPS</u>	<u>5,492</u>	<u>7,108</u>	<u>9,293</u>
Total Obligational Authority	5,492	7,108	9,293
Manpower	119	174	156

MISSION AREA 132

STRATEGIC SURVEILLANCE & WARNING

FY 81 Budget Request - \$652M
(\$ Millions)



Strategic Surveillance & Warning Mission Area 132

Funding Summary*

		(\$ Millions)	
		<u>FY 1981</u>	<u>FY 1982</u>
132	a. Ballistic Missile Attack Warning		
	BMEWS	110.0	83.1
	DSP	277.3	540.0
	SLBM Radar Warning	21.5	21.5
	PARCS	6.2	7.6
	Missile Surv Tech	12.3	17.4
	Adv Warning Sys	-	9.4
	Warning Info Correl.	3.0	-
		(430.4)	(679.0)
	b. Aerodynamic Threat Warning		
	DEW Sites	81.7	96.8
	Conus OTH Radar	12.4	26.3
	Adv Spc Applications	1.1	-
		(95.2)	(123.1)
	c. Space Surveillance		
	Spacetrack	62.1	97.3
	Space Surv.	12.3	12.8
	Space Surv. Technology	44.7	27.5
		(119.2)	(137.6)
	d. Surv & Warning Comm		
	PARCS	.5	.5
	BMEWS-Comm	2.0	2.2
	Spacetrack-Comm	1.4	2.4
	OTH Radar-Comm	.2	.3
	SLBM Radar Warning Comm	1.0	1.4
	DSP-Comm	2.0	2.5
		(7.1)	(9.3)
	Total 132:	651.8	949.0

Totals may not add due to rounding

* Includes all program elements except partials

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DATE: 5 December 1980
DIRECTOR: Dr. Turner
ACT OFFICER: N/A

PROGRAM: (U) Ballistic Missile Early Warning System (BMEWS)

DESCRIPTION: (S) /

<u>FUNDING:</u>	<u>81</u>	<u>82</u>	<u>FYDP</u>	<u>Total</u>
(U) RDT&E	9,200	13,021		
Procurement	44,966	12,954		
Operations	55,882	57,081		

MILESTONES

(U) Tactical Operations Room Upgrade Complete	FY 1981
(U) Missile Impact Predictor Computer Changeout Complete	FY 1982
(U) Site I (Thule) Detection/Tracking Radar UHF Upgrade Complete	FY 1985

~~SECRET~~

(u)
Program: Defense Support Program (DSP)

Description: (S)

FUNDING (S)

81 82 FYDP Total
 \$ (000)

RDT&E
PROCUR
OPS

MILESTONES: (S)

~~SECRET~~

ISSUES: \

DECISIONS Jan-Jun 81:

~~SECRET~~

Program: Distant Early Warning (DEW) Line

Description: The prime mission of the DEW Line is to provide tactical warning of a bomber attack from the north. The DEW Line also provides a base structure to support communications from SMEWS at Thule, Greenland and the SAC Green Pine System. DEW, installed in the 1950's, consists of 31 arctic based radars. The DEW line cannot detect aircraft below 1,000-foot altitudes, and the line also can be readily circumnavigated by the Soviet LRA.

<u>FUNDING</u>	<u>81</u>	<u>82</u>	<u>FYDP</u>	<u>Total</u>
RDT&E	--	--		
PROCUR	--	--		
OPS	81,694	95,833		

\$ (000)

MILESTONES:

NONE

ISSUES:

~~SECRET~~

DATE 24 November 1980

DIRECTOR Dr. Turner

ACTION OFFICER COL Frisette

Program: CONUS Over-The-Horizon -Backscatter (OTH-B) Radar

Description: An Over-The-Horizon-Backscatter radar system is under development in anticipation of deployment for tactical warning of air breathing threats to the North American continent. An experimental radar site (ERS) has been under test since early CY80. OTH-B radar is a vital element of joint US-Canada air defense planning.

FUNDING

\$(000)

	<u>81</u>	<u>82</u>	<u>83</u>	<u>TOTAL</u>
RDT&E	12,200	26,103		
Procur	-	-		
OPS	201	201		

Milestones:

DSARC II/III

Oct-Nov 1981

Issues:

Decisions:

Review/approval of a DoD Master Plan for North American Air Defense; transmitted to Congress by February 1981.

~~SECRET~~

Program: Integrated Operational NUDETS Detection System (IONDS)

Description (S)-

FUNDING	S(000)		FYDP	Total
	81	82		
NFIP-RDT&E	12,000	4,602		
PROCUR	--	16,888		
OPS	--	--		
DoD (Crosslink)				
RDT&E	(4,500)	(3,500)		
PROCUR	--	--		
OPS	--	--		
DoD (Terminals)				
RDT&E	--	(3,000)		
PROCUR	--	--		
OPS	--	--		

() = Unfunded requirement

MILESTONES: (S)

~~SECRET~~

1.3 MA 133 -- Strategic Communications

1.3.1 Description. Those capabilities required to communicate between NCA, command-control elements and strategic forces. It also includes communications support to CONUS defense forces, space defense and communications interfaces with theater C systems. The command elements include those such as NEACP, the JCS, various CINC's and others. Force elements include the strategic triad of ICBM's, SLBM's, and bombers. Assured command and control of strategic nuclear-capable assets in a hostile environment requires a variety of communications systems and transmission techniques. Consequently, communications systems include satellites, airborne and ground systems. Transmission mediums include LF/VLF, landline and UHF and SHF satellites.

1.3.3 List of Major Programs. Major programs in this mission area are the Minimum Essential Emergency Communications Network (MEECN), the PAACS post-attack airborne command and control system, the SAC Digital Network (SACDIN), TACAMO, and the Air Force Satellite Communications System.

1.3.4 Major Plans

- DSCS Program Plan FY 81-85
- DCS Ten Year Plan FY 82-92
- MEECN Master Plan FY 81-92
- WNMCCS Five Year Plan
- MILSATCOM Architecture (which is being prepared)

MA 133 -- Strategic Communications (\$ - Millions)

	<u>FY 80</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FY 83</u>	<u>FY 84</u>	<u>FY 85</u>	<u>FY 86</u>
R&D	104	181	195				
Investment	278	251	275				
Operations	<u>169</u>	<u>205</u>	<u>237</u>				
Total Obligational Authority	551	637	707				

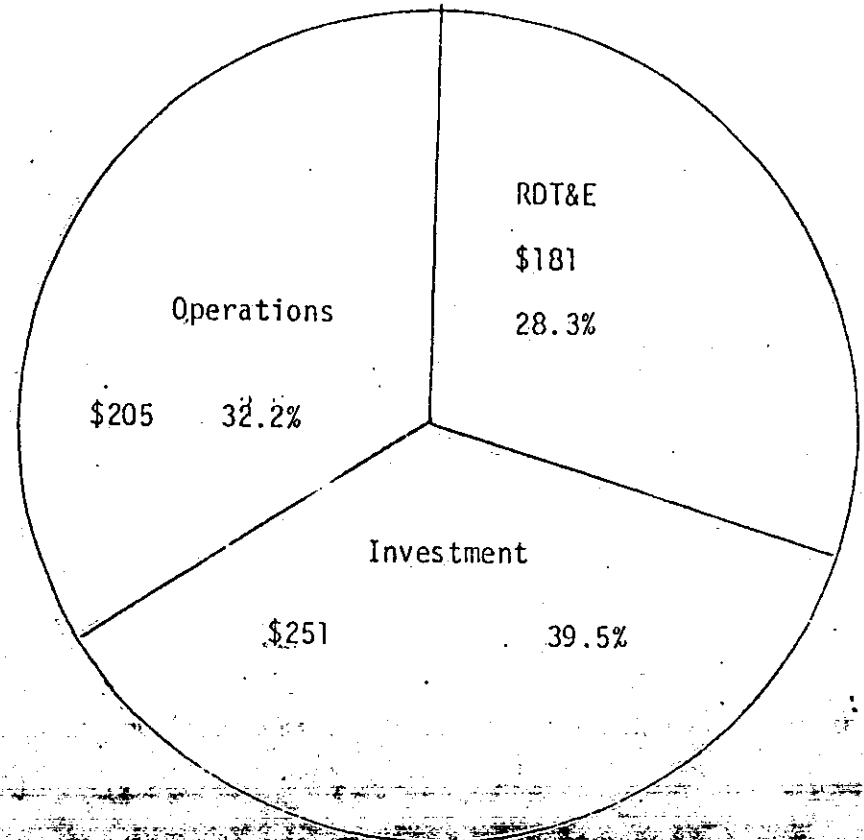
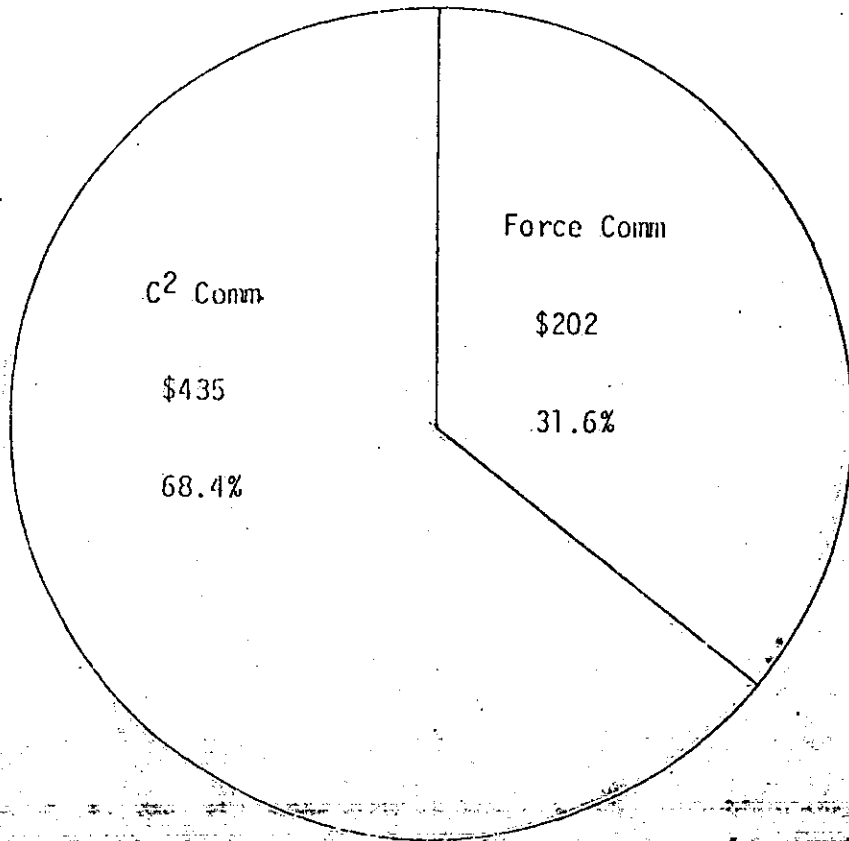
UNCLASSIFIED

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MISSION AREA 133

STRATEGIC COMMUNICATIONS

FY 81 Budget Request - \$ 636M
(\$ Millions)



Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

CONFIDENTIAL

OASD(C3I)
CS Resources
5 Dec

Strategic Communications Mission Area 133

Funding Summary*

		(\$ Millions)	
		<u>FY 1981</u>	<u>FY 1982</u>
133	a. C ² Comm		
	SAC Comm	86.4	159.7
	PACCS Comm	4.5	5.0
	Spec Purpose Comm	1.9	2.0
	NORAD-COC	7.3	7.1
	Comm-416L	30.3	34.3
	NEACP-Comm	5.4	6.1
	NMCS-wide Spt-Comm	8.0	8.9
	MEECN	22.6	41.2
	AFSATCOM	110.8	105.4
	SDS	151.6	84.1
	Comm Sys	6.4	3.3
		(435.3)	(457.1)
	b. Force Comm		
	FBM Control (including TACAMO)	161.8	202.1
	Titan Comm	4.9	5.1
	Minuteman Comm	11.7	14.1
	ELF Comm	.5	.9
	GRYPHON	21.6	26.9
	HYDRUS	1.0	.9
		(201.5)	(250.1)
	Total 133	636.8	707.2

Totals may not add due to rounding

* Includes all program elements except partials

DATE: 8 December 1980
DIRECTOR: Dr. Turner
ACT OFFICER: Dr. Hamilton

PROGRAM: (U) Satellite Data System (SDS)

DESCRIPTION: (S)

<u>FUNDING:</u>	<u>81</u>	<u>82</u>	<u>FYDP</u>	<u>Total</u>
(U) RDT&E	45.8	29.1		
Procurement	95.5	43.2		
O&M & Mil Pay	10.3	11.8		
Total	151.6	84.0		

MILESTONES:

(U) Program start	October 1971
1st launch	June 1976
2nd launch	August 1976
2 s/c IOC	October 1976
3rd launch, 3 s/c IOC	August 1978
Upgrade vehicle #6	September 1978
Build 5A similar to 5	May 1980
4th vehicle delivered	May 1980
5th vehicle delivered	October 1980

~~SECRET~~

472

DATE: 5 December 1980
DIRECTOR: Dr. Turner
ACT OFFICER: N/A

PROGRAM: SSBN Communications

DESCRIPTION: (S)/

<u>FUNDING (EC-X only):</u>	<u>(\$ - Millions)</u>	<u>81</u>	<u>82</u>	<u>FYDP</u>	<u>Total</u>
(U) RDT&E	-	-	31.6		
(U) Procurement	-	-	45.9		
(U) MILCON	-	-	3.3		
(U) MILPERS	-	-	0		
(U) O&M	-	-	-		

(Cost data are extracted from CNO Executive Board Briefing. Cost offsets can be made by deleting some EC-130Q replacement airframes. At present, the EC-X is funded only in the Enhanced Band).

MILESTONES:

- (U) MENS due in early 1981.
- (U) DSARC I due in mid-1981
- (U) If a start on EC-X is made in FY 82, first production delivery would be in FY 86, and the last (15th) aircraft delivery would be in FY 89.

ISSUES:

DECISIONS:

- (U) Approval of SSBN Communications MENS.
- (U) DSARC I (development) decision -- selection of promising alternative methods of assuring survivable, enduring SSBN communications.

~~SECRET~~

DATE: 5 December 1980
DIRECTOR: Dr. Turner
ACT OFFICER: Dr. Hamilton

PROGRAM: SACDIN

DESCRIPTION: (U) A digital communications network to provide secure transmission of hard-copy data (status of forces, Emergency Action Messages) between CINCSAC, subordinate SIOP execution commanders, and SAC SIOP forces. While SACDIN is not survivable, it is an integral part of the SAC Command and Control System, and replaces an obsolete network which is becoming increasingly difficult to maintain in an operationally acceptable status. SACDIN, as planned, will draw on automatic message routing and other features of the AUTODIN II system.

<u>FUNDING:</u>	<u>81</u>	<u>82</u>	<u>FYDP</u>	<u>Total</u>
RDT&E	23.3	30.0		
Procurement	8.4	69.5		
O&M and MIL PAY	54.6	60.2		
	<u>86.3</u>	<u>159.7</u>		

MILESTONES:

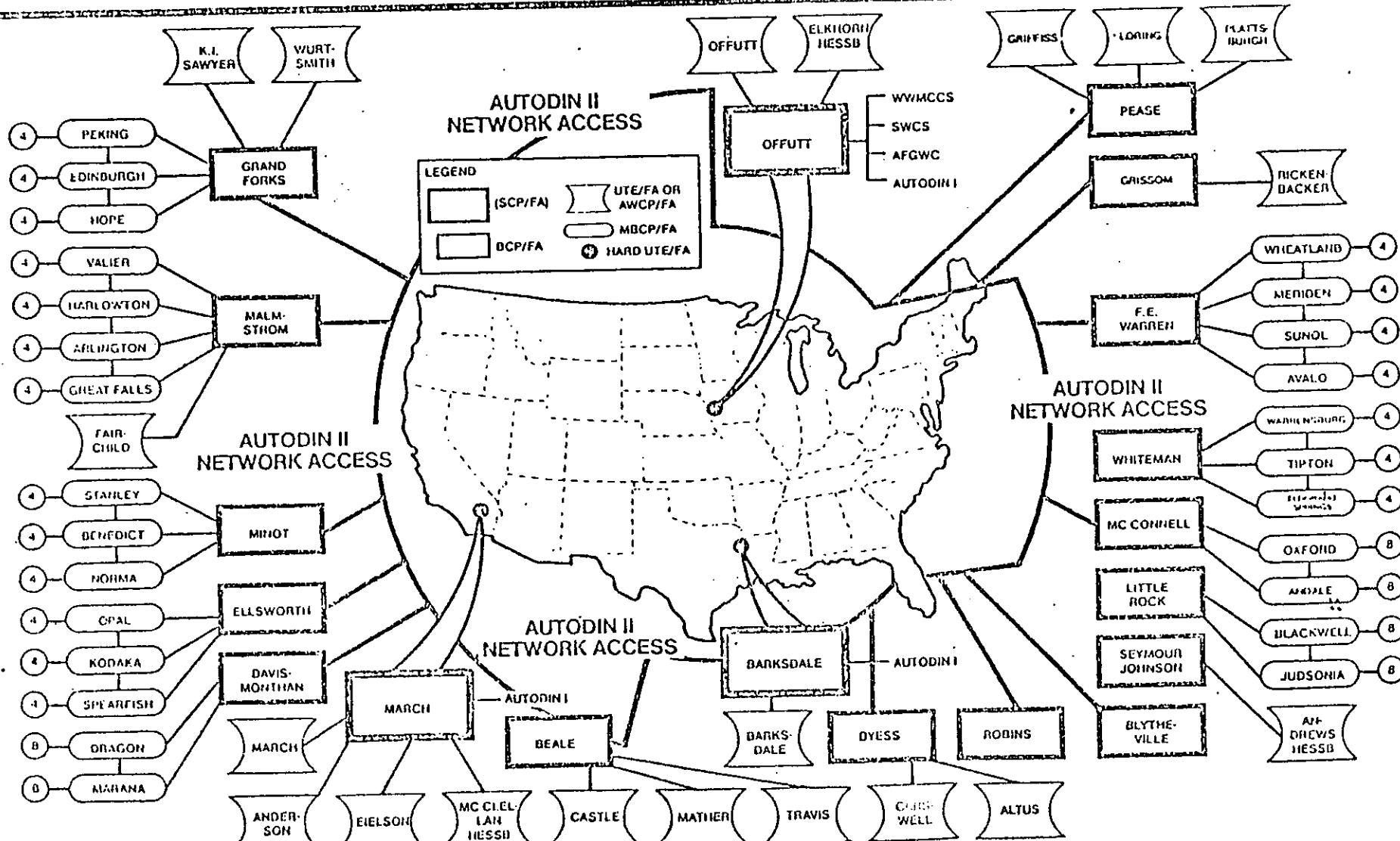
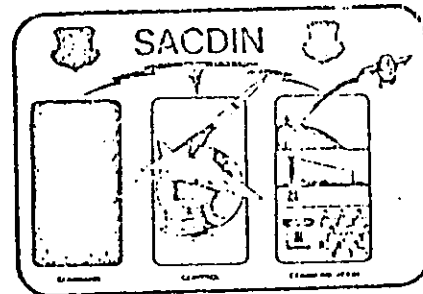
Congressional approval of restructured program	June 1978
Start development	July 1978
Complete functional prototype	Jan 1981
AF acquisition reviews	Dec 1981
Field qualifications checkout	June 1983
AFSARC III	Jan/Mar 1983
Start full scale implementation	Mar 1983
Full Operational Capability	Jan 1985

ISSUES:

DECISIONS:

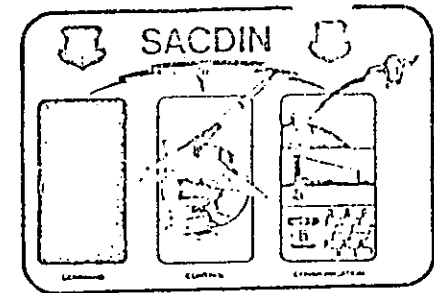
- o Go ahead on full production in early 1983.
- o Program adjustment if ceiling is broken (e.g., because AUTODIN II is delayed) and Congressional relief cannot be obtained.

SACDIN NETWORK



475

STATISTICS



- **Locations**
 - 154 Nuclear Survivable (Missile Launch Control Centers)
 - 39 Non-Survivable (HQ-Airfields)
 - 1 Training
 - **Equipment – State-of-the-Art – Average
2 Racks Per Location**
 - 362 Racks
 - 2011 Chassis
 - **Interconnecting – Extensive – Used By,
But Not Part of, SACDIN**
 - **Communications**
 - 200,000 Miles (AUTOVON, AUTODIN & HICS)
 - **System Interface – 12 Communication Interfaces**
 - **System Speed – Less Than 15 Sec. for EAM Delivery**
- Delivery Time for Emergency Action Message (EAM) is Measured From *Transmit Enable* to *Complete Printout* From Any Point in Network to Any or All Points in Network

MISSION AREA STATUS

MISSION AREA 134: Strategic Information Systems

DESCRIPTION: This mission area includes those capabilities required for information processing, storage, retrieval, and display for strategic command and control processes. The major program in this mission area is the World Wide Military Command and Control System (WWMCCS) Automated Data Processing (ADP). There are two aspects to this program: continued operation and maintenance of the 35 existing WWMCCS ADP facilities at 26 worldwide locations, and the modernization of these ADP facilities under a program called the WWMCCS Information System (WIS). The existing WWMCCS ADP facilities consist primarily of large Honeywell computers purchased initially in the early 70s which will require replacement by the mid to late 1980s. The bulk of FY 82-84 funds in this mission area are to operate and maintain the existing facilities without significant enhancement.

The WIS modernization program will provide the replacement capability for these systems starting in the 1986 time frame. The WIS modernization activities are expected to fall into two general categories: (1) those hardware and software efforts common to a number of sites, and (2) the more specialized capabilities common to several sites are termed "operational families" of which four have been identified to date: (1) Resource and Unit Monitoring, (2) Conventional Planning and Execution, (3) Nuclear Planning and Execution and (4) Tactical Warning and Space Defense. The development of these families involving standard centrally-developed hardware and software packages, will be the responsibility of a to be established WWMCCS Program Management Office. Service and site unique efforts would remain as at present the responsibility of the Services.

The WWMCCS ADP program includes ADP equipment used in the two major missile warning systems--the NORAD Missile Warning and Space Surveillance System and the Command Center Processing and Display System. These systems provide the capability to CINCNORAD needed to exercise command and control over assigned forces and to provide the National Command Authority and the Strategic Air Command with essential and time-critical decisionmaking information in support of the tactical warning mission. These systems are undergoing a series of upgrade and modernization actions which will improve their reliability and effectiveness.

The WWMCCS Intercomputer Network (WIN) is a data communications network utilizing the ARPA network technology which links the present Top Secret WWMCCS computers. WIN is providing the inter computer connectivity between WWMCCS systems and sites that is vital to the success of command and control efforts in support of the Rapid Deployment Force and other similar activities.

The AUTODIN II Program will provide a DoD wide data communications service for all levels of DoD user from the highest levels of intelligence data to the unclassified logistics and support functions. AUTODIN II is included here because of its importance to the interconnection of all C³I information systems.

List of Major Programs

- World Wide Military Communications Command System (WWMCCS) Automated Data Processing (ADP)
- Missile Warning ADP Systems
- World Wide Military Communications Command System Intercomputer Network (WIN)
- AUTODIN II Program (not in M.A. 134)

List of Major Plans

- | | |
|--------------------------------|---|
| WWMCCS ADP | <ul style="list-style-type: none">- OJCS MJCS 275-79, WWMCCS ADP Concept of Operations for post-1985.- GAO Report, The WWMCCS--Major Changes Needed in Its ADP Management and Direction (LCD 80-22 and 22A)- WIS Progress Report to Congress (draft by DCA/WSE, 18 Nov 80)- Planning for the Modernization of the WWMCCS Information System, Jan 1980 (prepared by DCA/WSE). |
| WIN | <ul style="list-style-type: none">- OJCS WIND M-06-79, Overview of the WIN, 6 Nov 79 |
| AUTODIN II | <ul style="list-style-type: none">- Management Engineering Plan for AUTODIN II Phase I, 10 Mar 77- Defense Audit Service Report on the Review of AUTODIN II (No. 81-005) 6 Oct 80 |
| MISSILE WARNING
ADP SYSTEMS | <ul style="list-style-type: none">- USAF Report, Special Management Review of USAF Support to the Tactical Warning/Attack Assessment System, 3 Jul-2 Sep 80, 8 Oct 1980.- Report of Senator Gary Hart and Senator Barry Goldwater to the Committee on Armed Services, U. S. Senate, "Recent False Alerts from the Nation's Missile Attack Warning System, 9 Oct 1980. |

List of Major Programs

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- World Wide Military Communications Command System (WWMCCS) Automated Data Processing (ADP)
- Missile Warning ADP Systems
- World Wide Military Communications Command System Intercomputer Network (WIN)
- AUTODIN II Program (not in M.A. 134)

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 - GAO Report, The WWMCCS--Major Changes Needed in Its ADP Management and Direction (LCD 80-22 and 22A)
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 - Defense Audit Service Report on the Review of AUTODIN II (No. 81-005) 6 Oct 80

List of Major Actions

	<u>PROGRAM</u>	<u>DECISIONS</u>
Prior to 20 Jan 81	WWMCCS Intercomputer Network (WIN) Upgrade	Approve system reliability improvements
	WWMCCS Information System (WIS) Modernization	Report to Congress Jan 81.- Select WIS management structure
	Computer Security Evaluation Center	Approve NSA proposal to establish Center at NSA

List of Major Actions

PROGRAM

Prior to
20 Jan 81

WWMCCS Intercomputer Network (WIN)
Upgrade

WWMCCS Information System (WIS)
Modernization

Computer Security Evaluation
Center

DECISIONS

Approve system reliability improve-
ments

Report to Congress Jan 81.- Select
WIS management structure

Approve NSA proposal to establish
Center at NSA

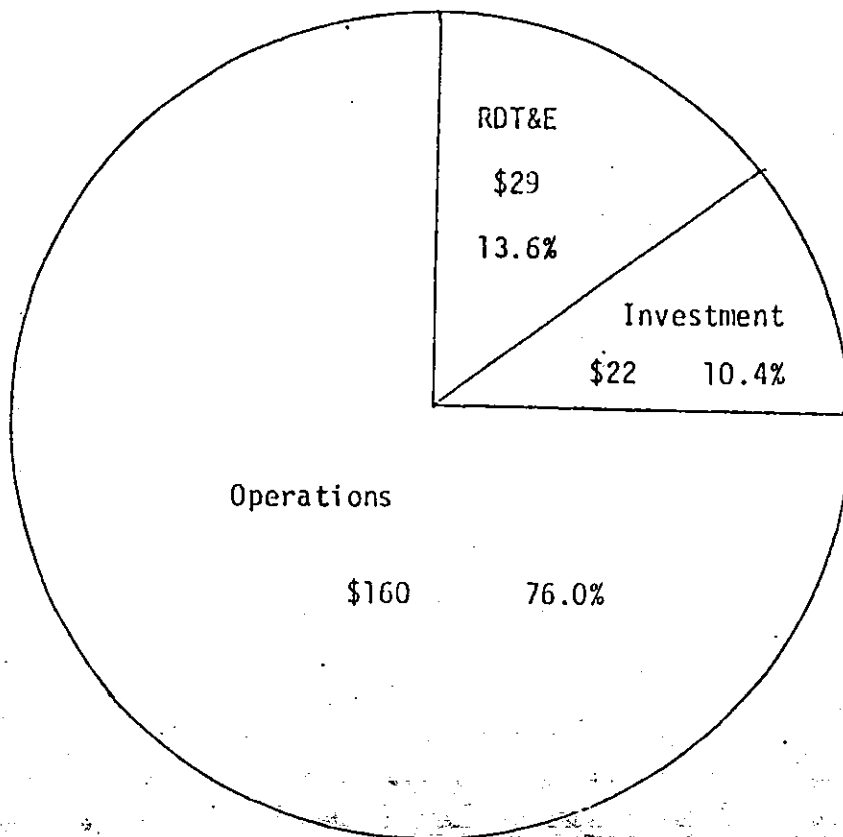
BASIC LEVEL \$M C³I DOD BUDGET REPORT - 27/80

	<u>81</u>	<u>82</u>	<u>83</u>	<u>84</u>	<u>85</u>	<u>86</u>
<u>RDT&E</u>						
WWMCCS ADP Missile Warning	16.6	22.974				
WWMCCS ADP Service Support	4.0	-				
WWMCCS ADP Joint Command Support	7.9	12.764				
TOTAL	<u>28.5</u>	<u>35.738</u>				
<u>PROCUREMENT</u>						
WWMCCS ADP Missile Warning	3.7	9.326				
WWMCCS ADP Service Support	9.6	8.303				
WWMCCS ADP Joint Command Support	8.5	4.928				
TOTAL	<u>21.8</u>	<u>22.557</u>				
<u>O&M & MIL PAY</u>						
WWMCCS ADP Missile Warning	64.1	69.487				
WWMCCS ADP Service Support	35.3	37.425				
WWMCCS ADP Joint Command Support	60.2	62.125				
TOTAL	<u>159.6</u>	<u>169.037</u>				

MISSION AREA 134

STRATEGIC INFORMATION SYSTEMS

FY 81 Budget Request - \$ 210M
(\$ Millions)



Source: Sep 80 FYDP
Does not include RFP nor partial program elements

~~CONFIDENTIAL~~

OASD(C3I)
C3 Resources
5 Dec 80

Strategic Information Systems Mission Area 134

Funding Summary*

		(\$ Millions)	
		<u>FY 1981</u>	<u>FY 1982</u>
134	WWMCCS-ADP SAC	19.0	25.1
	WWMCCS-ADP NORAD/ADCOM	16.9	21.6
	NORAD COC	43.0	58.2
	Cmd Ctr Process/Display	4.1	4.7
	WWMCCS ADP-AABNCP	7.3	-
	WWMCCS ADP JTSA	18.5	32.5
	WWMCCS ADP NMCS	38.3	39.5
	WWMCCS ADP	40.0	50.9
	WWMCCS Info Sys	-	6.4
	Mgmt Hqs - WWMCCS ADP	22.8	22.3
	WWMCCS ADP-USMC	.1	.1
	TOTAL 134	209.9	261.3

Totals may not add due to rounding

* Includes all program elements except partials

~~CONFIDENTIAL~~
CONFIDENTIAL

DATE 6 December 1980

PROGRAM (Title)

DIRECTOR Mr. Stephen T. Walker

WWMCCS Automatic Data Processing (ADP)

ACTION OFFICER LtCol Lane, Mr. Sgro

DESCRIPTION: This program includes all resources (R&D, Procurement, and operations and maintenance) directly associated with the current WWMCCS ADP and the modernization of that ADP in an effort called the WWMCCS Information System (WIS). Included is the support provided to the National Military Command System (NMCS), the Strategic Air Command (SAC), the Alternate Airborne National Command Post (AABNCP), the North American Air Defense Command (NORAD/ADCOM), the Unified and Specified commands, the component commands and the Service Headquarters. (P.E. 11310F; 12310F; 12311F; 12436F; 32010F; 32017K; 32018K; 32019K; 33151A, F, H, N; 33152K; 33298A, N; 91119M)

<u>FUNDING (\$M)</u>	<u>81</u>	<u>82</u>	<u>FYDP</u>	<u>Total</u>
Operations and Maintenance of Existing ADP Facilities				
RDT&E	28.137	19.135		
PROCUREMENT	26.267	22.557		
O&M & MIL PAY	138.997	168.437		
WIS Modernization				
RDT&E	-	16.6		
PROCUREMENT	-	-		
O&M & MIL PAY	-	.5		

MILESTONES: The operation and maintenance of the current WWMCCS ADP is a continuous maintenance and minor enhancement program for the existing set of facilities. The WIS Modernization effort will present alternatives for modernization to the WWMCCS Council by December 1981. Depending upon the alternatives selected, field installation should begin during FY 86.

ISSUES:

Congressional: The WWMCCS ADP program has come under repeated Congressional and GAO criticism as not adequately performing and as requiring replacement. The HAC and the Conference Committee reports on the FY 81 appropriations bill requested submittal of a WIS Modernization Progress Report in January 1981. This report is in circulation for comment at this time.

PROGRAM (Title)

WWMCCS Automatic Data Processing (ADP)

ISSUES: (Continued)

PR SYSTEM (Title)

DIRECTOR Mr. Stephen J. ...

WWMCCS Intercomputer Network (WIN)

ACTION OFFICER Col John J. Lane

DESCRIPTION: The WIN is the communications medium for information interchange between the WWMCCS computers. It supports the JCS, the Unified and Specified commands and the Service Headquarters in planning, force monitoring, and crisis management actions. The WIN had its genesis as an experimental network to evaluate networking concepts in an operational environment. It was placed in operational service as an interim system pending its replacement by AUTODIN II. (P.E. 32107K)

<u>FUNDING (\$M)</u>	<u>81</u>	<u>82</u>	<u>FYDP</u>	<u>Total</u>
RDT&E	5.200	3.674		
PROCUREMENT				
O&M & MIL PAY	.700	.700		

MILESTONES: The WIN is undergoing continuous enhancement in software, hardware, and procedures. Recent performance during Exercise Proud Spirit showed very substantial improvement over previous exercises.

ISSUES:

Congressional: The GAO has furnished Congress with reports describing the WIN as beset with reliability problems.

Technical:

ACTIONS:

In light of the continuing delays in the AUTODIN II network, the following steps are now underway to alleviate these problems.

1. Upgrade of the communications subnetwork to state-of-the-art hardware and software currently in use on the ARPA network, COINS and other networks.
2. Installation of Network Front End processors between the WWMCCS computers and WIN to improve network interface effectiveness and reduce the overhead of the network on the WWMCCS computers.

3. Restructure WIN operation and maintenance as a DCA Operations Center function rather than the present widely distributed management and control procedures.

4. Install a modern Network Operations Center to allow effective management of network resources.

5. Refine and improve WWMCCS computer application software and procedures for making effective use of the WIN.

All above steps are under review or in progress.

DECISIONS Jan - June 81:

- o Approve system reliability improvements (prior to 20 Jan 81)

PROGRAM (Title)

AUTODIN II

DIRECTOR: Mr. Stephen H. ...

ACTION OFFICER: Lt Col John J. ...

DESCRIPTION: The AUTODIN II program will provide a general purpose data communications packet switched network for integrating the teleprocessing and record communications needs of DoD into a single digital backbone transmission system. As a major subsystem of the DCS, AUTODIN II will provide data service at all levels of security from unclassified to Top Secret, Special Intelligence. (P.E. 33126)

<u>FUNDING (\$M)</u>	<u>81</u>	<u>82</u>	<u>FYDP</u>	<u>Total</u>
RDT&E				
PROCUREMENT				
O&M	10.339	22.554		
(This system will be leased from Western Union)				

MILESTONES: Installation of equipment at the three initial switching centers and the System Testing Facility has been completed. Individual site testing has been completed with deficiencies noted to be cleared. System testing (projected to begin in January following repeated delays) and security validation testing are estimated to require a minimum of two months. Projected IOC if tests are successfully completed is mid March 1981.

ISSUES:

AUTODIN II:
Technical:

DECISIONS Jan - June 81:

DATE 9 December 1980

PROGRAM (TITLE)

DIRECTOR Mr. Stephen T. Walker

Missile Warning ADP Systems

ACTION OFFICER LtCol John J. Lane

DESCRIPTION: The NORAD Missile Warning System allows CINCNORAD to provide the National Command Authorities and the Strategic Air Command with essential and time-critical decisionmaking information in support of the tactical warning mission.

<u>FUNDING: (\$M)</u>	<u>81</u>	<u>82</u>	<u>FYDP</u>	<u>TOTAL</u>
RDT&E	16.6	22.9		
PROCUREMENT	3.7	9.3		
O&M & MIL PAY	64.1	69.4		

NOTE: Funding for these systems is also included in the totals provided for the WWMCCS ADP program.

MILESTONES: There are a number of near-term improvements to the system referenced below that will be completed by late FY 1982; the longer-term improvements will be implemented on a phased basis between 1986 and 1990.

ISSUES:

Recently there have been several incidents involving false missile alerts. On 9 Nov 1979 a portion of a recorded test scenario was erroneously transmitted outside NORAD Headquarters to the NMCC ANMCC and SAC. On 3 and 6 June a failure in an integrated circuit on a communication multiplexor caused false missile warning messages to be transmitted to the same locations.

Extensive investigation of these incidents has led to the following near-term corrective measures.

1. An Off-Site Test Facility has been established to provide a development and test capability which will not require use of the operational system.
2. Strict procedures have been established to prevent the accidental transmission of test data from the operational system.
3. The suspect board in the June incidents has been replaced and accelerated maintenance procedures have been established.
4. A message validity check (cyclic redundancy check) has been added to all outgoing NORAD messages to detect any errors introduced from the time of message generation until its use at the NMCC, ANMCC AND SAC.

<u>Funding (\$M)</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP</u>
RDT&E	0.9	1.8	
Proc*	2.9	4.8	
O&M*	136.8	145.0	

*AUTOVON only data as DSN implementation data has not been developed.

Milestones

DSN Concept Plan Approved	Spring 81
Upgrade Fairview AUTOVON Switch	CY 81 -
Activate Two Alaskan AUTOVON Switches	CY 82

C. Theater and Tactical (Mission Area 250)

The Theater and Tactical Command and Control area is made up of an extremely broad collection of C³I systems and equipment which are essential to the execution of a modern, integrated, mobile and effective fighting force. It is made up of two major segments, theater and tactical C³I. The Theater C³I mission is to provide a link from the National Command Authority (NCA) and those resources it has available, both national and strategic, to the tactical commander (typically at the Army Corps, Air Force Wing, and Navy Battle Group level). Our theater-level C³I initiatives emphasize survivability of essential command and control functions with concurrent efforts aimed at improving our capabilities for participation in multinational operations in support of alliance commitments. Major emphasis has recently been placed in three areas: (1) improvements to our Joint Crisis Management Capability; (2) improvements and upgrade of our Theater Nuclear Forces (TNF) C³; (3) C³I support for the Rapid Deployment Force. Each of these programs are heavily oriented toward providing survivable, jam resistant, secure communications to insure the rapid, accurate interchange of critical command information under highly stressed conditions. Improvements are also being sought in handling the expected large volume of traffic through the introduction of automated aids.

The principal objectives of these programs is to provide tactical commanders of all services, at all echelons, with the right information, at the right time to help him make the right decision to win the battle and to disrupt the enemy in their ability to command and control. Because of the increased demands of the modern battlefield for timely, accurate information, emphasis is being placed on automation and data distribution. Tactical systems which are mobile/transportable, rugged and survivable, are being developed for all services. We are stressing improved interoperability between the Services and with the forces of our allies.

In tactical communications, a major effort is being devoted to achieve security and to improve jam-resistance for all battlefield radios. In the tac recce area a major objective is to select a balanced mix of SIGINT, ELINT, COMINT and imagery sensor systems that will compliment each other in accuracy and distance comparable to newly introduced weapon systems. Development of joint tactical fusion system to correlate the high volume outputs of this sensor mix is being initiated as a follow-on to the BETA test bed program.

Theater and tactical C³I systems obviously serve a variety of functions at the various echelons, but in general, all must have the flexibility to cope with evolving threats and be consistent with planned force composition and employment. Among the key objectives which we prescribe for these systems are the following:

- Precise and efficient control of forces at all levels of command.
- Heightened survivability in both a conventional and nuclear environment.
- Jam-resistant, secure communications.
- Interoperability with other forces and commands (unified, specified, joint, NATO and other allies).

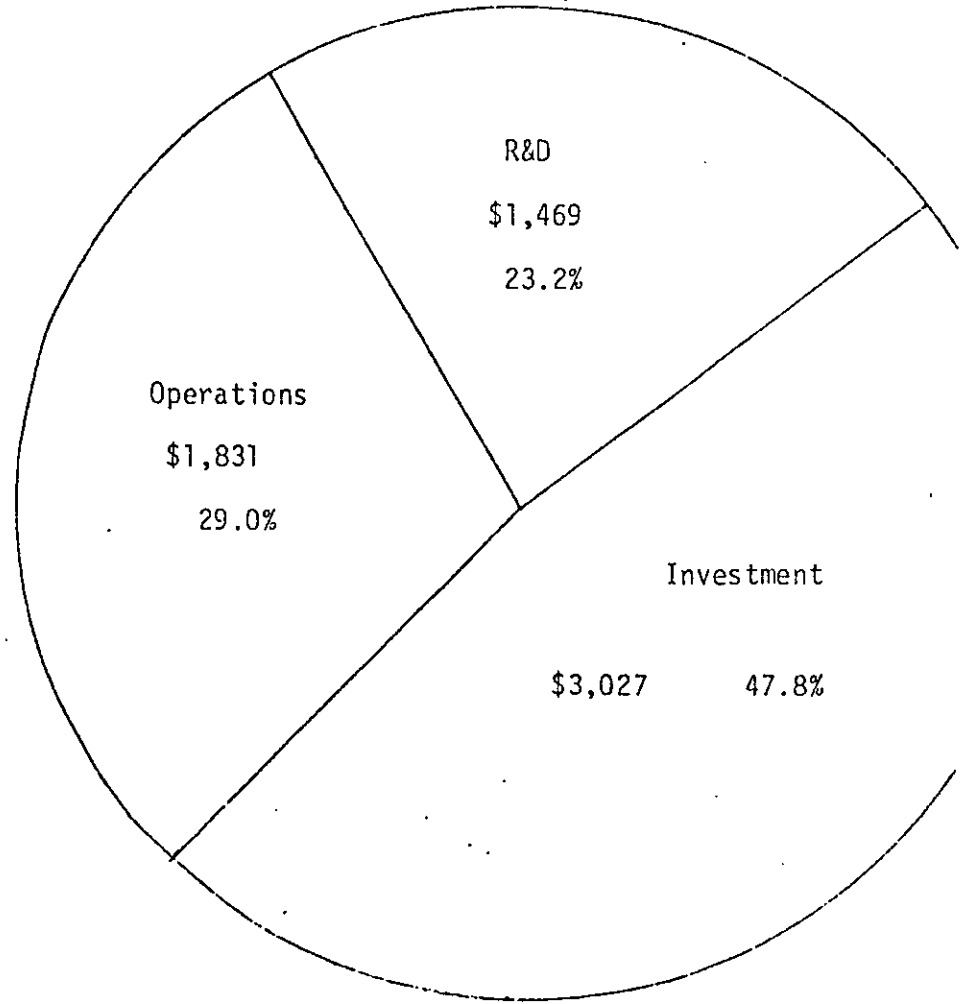
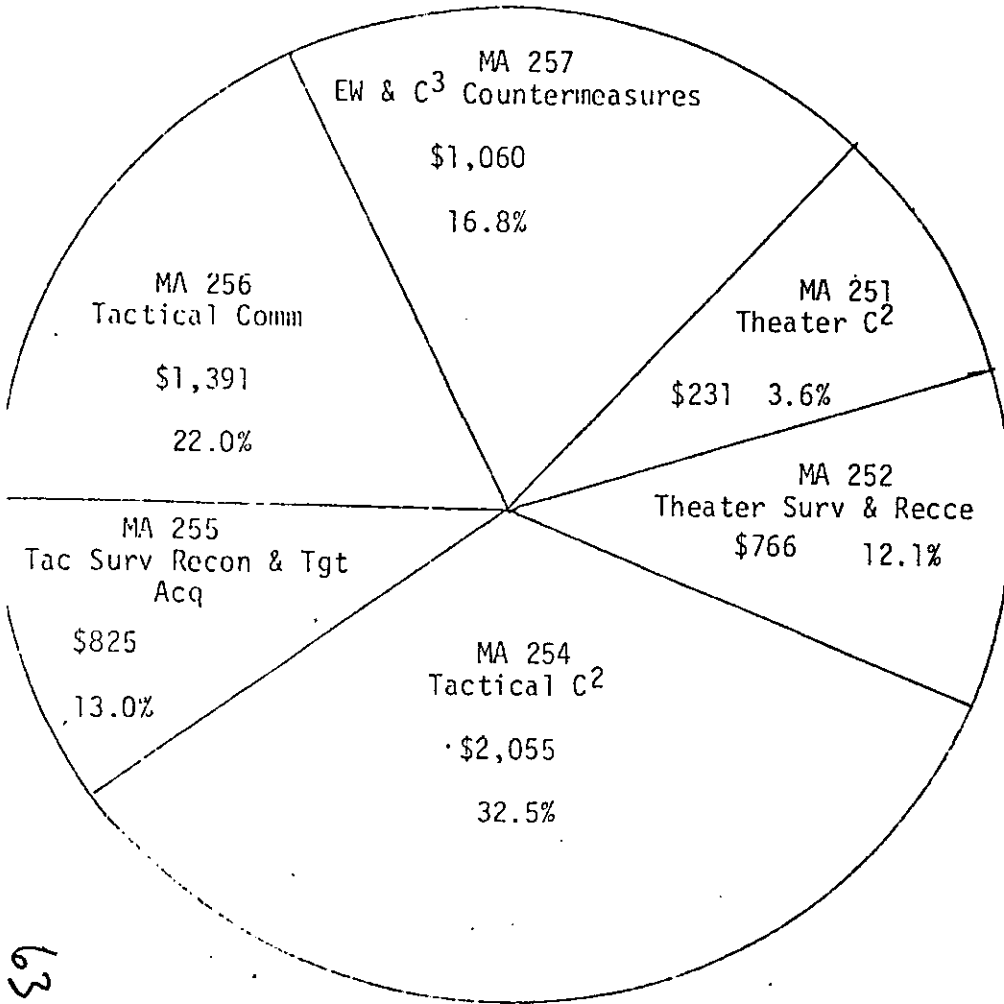
- 2
- Improved endurance in all stressed scenarios.
 - Maximum use of existing systems/equipments where possible.
 - Evolutionary vice revolutionary system development philosophy.
 - Technical capability for rapid, high volume, secure transfer of data.
 - Reconstruction capability.
 - Standardization to provide for ease of maintenance and resupply.

Over the past several years, Theater and Tactical C³I programs have been receiving increased management attention and priority,

MISSION AREA 250

THEATER AND TACTICAL C³I

FY 81 Budget Request - \$6,327M
(\$ Millions)



63

Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

Mission Area 251 Overview (Theater C²)

Narrative Description. Global national security interests require rapidly deployable means for Command and Control (C²) if the U. S. is to achieve effective command of a crisis without unnecessary escalation to a higher level of conflict. In addition, survivability of C² functions is as important at the theater level as at the strategic level. Dissemination of timely and accurate intelligence nuclear weapons release and other critical information to theater force commanders along with adequate warning is essential to assure force survivability against surprise attack and to enhance readiness so that U. S. forces can defend effectively against any forces that it faces.

The Theater Command and Control mission area addresses capabilities required to command and control Multi-Service and Multi-National forces, including theater nuclear forces. Theater C² Systems are generally taken to be those capabilities that are either unique to a theater of operations or are permanently embedded in it. There are problems unique to each theater which reflect considerations in geography, political relationships, the threat and economics. In Europe, the predominant factors are the NATO alliance and the WARSAW PACT threat. Thus, close planning and coordination with NATO is required to deter war in that area.

It is also clear that if a war is fought in Europe, it will be a coalition war fought within the NATO framework rather than a U. S. only war. This view has major ramifications on U. S. C² systems, since it is obvious that a wartime C² system for U. S. troops alone will not be sufficient. An effective system is required which encompasses the NATO command structure, that allows commanders to command multi-national troops and that interfaces with the tactical systems of the allied nations.

On the other hand, in the Pacific Command (PACOM), the vast area involved creates unique crisis management C² problems. Survivability of in-place C³ systems is also critical in PACOM, particularly in Korea. Hence, U. S. objectives there are to improve the survivability of command centers and their communications links and to achieve compatibility and interoperability with the C³ systems serving the allied forces.

The U.S. has recognized both the common and unique C² problems that exist in the various theaters and is moving to resolve them. Airborne (EC-135) Command post (ABNCP) facilities, manpower and operating resources are provided to CINCEUR, CINCPAC and CINCLANT in order to assure that they are responsive to the National Command Authority (NCA) and can maintain positive control of the Single Integrated Operational Plan (SIOP) forces during all phases of hostilities up to and including general nuclear war. C³ upgrades to the ABNCP's include improved secure voice capability and addition of an AFSATCOM airborne terminal.

Thus
the Joint Crisis Management Capability program is underway to

provide CINCEUR, CINCPAC and CINCPAC a range of rapidly-deployable facilities and communications for crisis management and joint task force applications. The capabilities being developed range from a minimum, easily transportable, communications package through a rapidly responsive set of airborne and ground deployable C³ modules for a moderate size force to a C³ package to augment a large joint task force. These C³ capabilities would provide the commander the facilities and means to gather and relay crisis assessment information to the appropriate area commander or the NCA and to exercise command and control of subordinate elements.

In the case of theater nuclear forces (TNF), C³ systems currently exist but are being upgraded and replaced in an evolutionary manner. More reliable, higher power radio equipment is being provided U. S. custodial units and terrestrial links are being added and provided secure record capability. A major TNF C³ system improvement plan for Europe has just been completed and will be the basis for future budget actions.

Other areas in which theater level C² improvement are being made include a program to provide a fully interoperable, automated C² system for the USAF operated Allied Tactical Operations Center in Germany, through which assigned NATO Air Forces can be directed and controlled. In this program the USAF will adapt and procure German developed equipment. The Air Force also has underway project OASIS in USAFE. OASIS will automate functions in the Tactical Fusion Center (BOERFINK BUNKER) to provide the CINC a complete, integrated assessment of the air and ground situation. Hardware and software upgrades are underway to improve recent integration and dissemination of information from special intelligence, reconnaissance and tactical and operation systems.

The Navy Worldwide Command and Control (C²) System is also being upgraded under a 5-year plan to assure coordination and integration of shore command centers and their systems for integration of fleet operational, intelligence logistics and communications.

Finally, in an effort to allow the various CINCs to make near term C² enhancements to their own systems, a program has been initiated in FY 81 to provide small amounts of funds directly to them. With JCS as focal point, it is expected that this low cost program will provide a high readiness payoff.

Budget Profile:

	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP (82-86)</u>
RDT&E	19.2	28.6	129.9
PROCUREMENT	116.4	110.7	349.2
O&M	94.9	110.7	623.5

Major Programs:

- Joint Crisis Management Capability (JCMC)
- RDJTF

NOTE: Summary Sheets for these programs are attached.

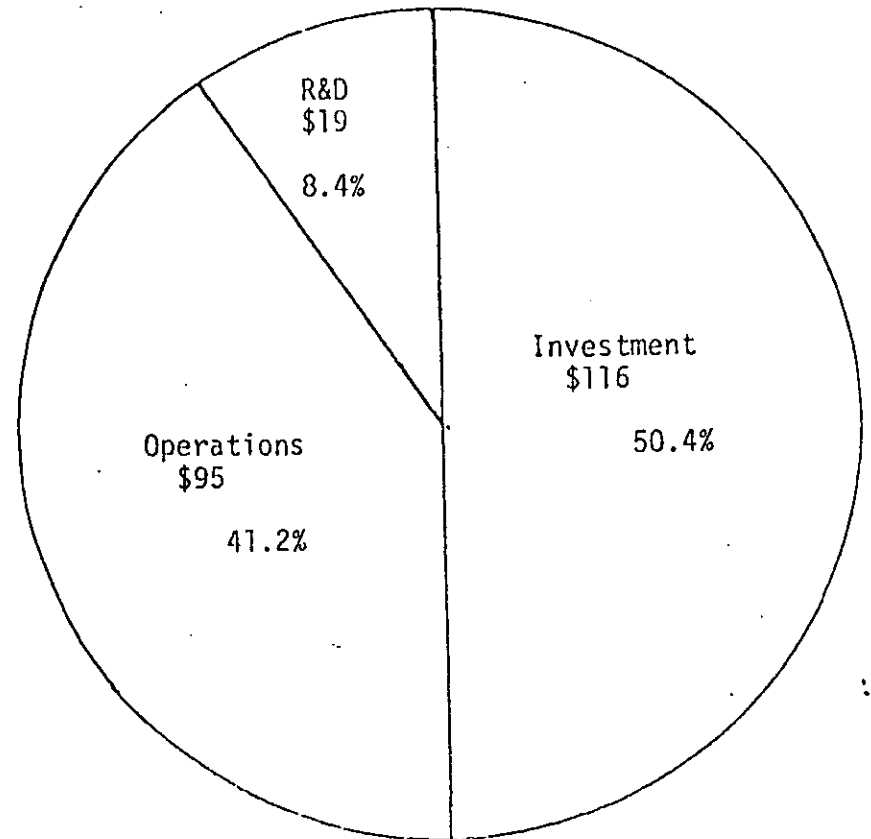
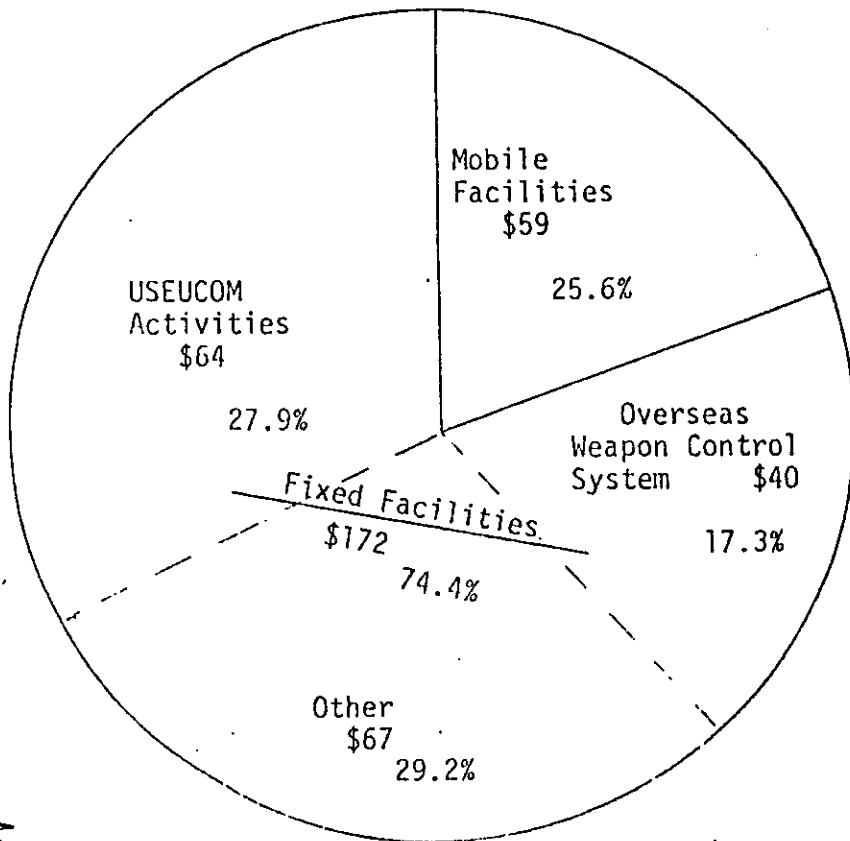
Major Plans:

- Army, Command and Control Master Plan.
- Navy, Command and Control Plan.
- Air Force, Tactical Air Forces Integrated Information Systems Plan.
- DoD Long Range Theater/Tactical C³I Resources Plan.
- European Theater Nuclear Weapons C³ System Improvement Plan.
- Theater Nuclear Force C³I Architecture.
- Telecommunications Plan for Improvements in Korea (TPICK)

Mission Area 251

Theater C²

FY 81 Budget Request - \$231M
(\$ Millions)



Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

Theater Command & Control Mission Area 251

Funding Summary*

	(\$ Million)	
	<u>FY 1981</u>	<u>FY 1982</u>
251 a. Fixed Facilities		
USEUCOM Activities	64.4	-
CINC Igit.	-	12.0
Navy C ²	29.4	50.5
OAWCS	39.9	27.6
PAC C ²	2.4	2.8
USAFE C ²	11.2	18.8
EUCOM C ³ Sys	13.8	27.4
C ² Sys	10.5	11.1
	(171.6)	(150.4)
b. Mobile Facilities		
ABNCP (CINCEUR)	14.8	16.1
ABNCP (CINCPAC)	12.3	14.0
ABNCP (CINCLANT)	10.7	12.4
NMCS-wide Spt Comm	21.1	57.3
	(59.1)	(99.8)
Total 251	230.7	250.2

Totals may not add due to rounding

* Includes all program elements except partials

~~CONFIDENTIAL~~

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PROGRAM: Joint Crisis Management Capability (JCMC)

DESCRIPTION: This program is designed to provide the National Command Authority (NCA) and theater CINCs a ground and air transportable C3 facility which is capable of rapid worldwide deployment for use in crisis management situations and military contingency operations. At the present time CINCEUR and CINCPAC have a very limited capability to provide early on the scene crisis assessments to Washington. Facilities under JCS control are not sufficient to meet requirements, including those of the Rapid Deployment Joint Task Force (RDJTF). The JCMC program will provide four levels of crisis management capability. Level 1 will a minimum communications package consisting of a lightweight easily transportable satellite terminal which will provide secure communications in small crisis situations. Level 2 will be a rapidly responsive airborne capability to relay crisis situation assessment communications between the scene and appropriate area and national authorities. Level 3 will be as air and ground transportable C³ capability for a moderate size joint force and Level 4 will be a C³ package to augment the capability of a large crisis management force and assure its responsiveness to the NCA. All capability levels, except Level 4, are currently being implemented. OSD guidance on the Level 4 capability will be issued in 2QFY81.

<u>FUNDING</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP</u>	<u>Total</u>
RDT&E	2.8M	4.0M		
Procurement	14.6M	43.3M		
O&M & Mil Pay	2.0	2.0		

MILESTONES: Requirement validated by JCS, 15 Jan 79
OSD program guidance issued 14 May 1979
OSD implementation guidance issued on Level 2/4 capability, 29 Jul 80

- o Contract award 4QFY81
- o IOC 4QFY84
- o FOC QFY85

OSD implementation guidance issued on Level 1 capability, 19 Nov 80

- o Contract award 1QFY82
- o IOC 4QFY82
- o FOC 1QFY84

OSD implementation issued on Level 4 capability, 2QFY81

ISSUES: /

DECISIONS Jan - June 81:

January 1981: OSD must approve an acquisition plan for the Army to provide lightweight satellite terminals to meet the Level 1 capability.

~~SECRET~~

ASD
PDASD
DASD J. Babcock
Director C. Hawkins

(u) Mission Area 252: Theater Surveillance and Reconnaissance

(u) The advent of long-range weapons (artillery, missiles and strike aircraft) in Soviet land, sea, and air forces requires detection, location, and classification of such forces at longer range. The excellent range-payload characteristics of our strike aircraft and the range and precision of ground-launched and sea-launched missiles can be fully exploited only if means are available to find and designate targets at long-range with a location accuracy consistent with weapon delivery capabilities and with a timeliness consistent with the dynamics of war. Theater surveillance and reconnaissance programs are aimed at fulfilling these needs.

(u) Surveillance and reconnaissance support for combat can be delineated based on four general objectives, i.e., allocation of uncommitted reserves, maneuver of forces, fire mission decisions, and fire control or targeting. Two of these objectives - allocation on uncommitted resources and concentration of forces - are primarily theater command responsibilities. To meet these objectives, theater commanders and their staffs must have organic intelligence, reconnaissance and surveillance systems and supporting analysis centers. These assets must also be complemented by information available from the National intelligence system. In preparation for hostilities, order-of-battle information on potential theaters of operations must be developed and maintained. This information is based upon the coordinated employment of all intelligence disciplines - signals intelligence, imagery intelligence, radar intelligence, acoustic intelligence and so on. This order-of-battle development, conducted in peacetime, is an essential input to combat operations and requires updating on a regular basis. Collecting the requisite data constitutes a major portion of the prehostilities tasking of theater and national collection and production resources. While the establishment and maintenance of these orders-of-battle is essential to peacetime force readiness, the character of such requirements changes dramatically with the onset of hostilities. Once a war starts, enemy forces will organize into combat nodes which differ greatly in many cases from peacetime organizations. Combat intelligence, reconnaissance and surveillance in the theater is different than order-of-battle analysis, and the collection and processing needs are different.

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(S)

- (u) Ocean surveillance needs are also extensive. They range from in-close warning to long-range (near worldwide) surveillance. For example, task force planning and defensive Anti-Submarine Warfare require the need to survey the status and location of ships and submarines at long ranges from deployed naval forces. In addition to its program for detection of enemy submarines, the Navy is initiating the development of an Integrated Tactical Surveillance System to consolidate multi-sensor information, process that information and provide targeting data to meet its over-the-horizon detection, location, classification and targeting requirements.
- (u) The available and programmed mix of theater support systems is a partial consequence of perceived commitments to future combat situations. These range from all-out war in Europe and on the high seas, to combat support in Korea, and to contingency plans worldwide.
- (u) The primary mission of programs in this Mission Area is to provide information to satisfy the requirements of theater commanders; and secondarily, to satisfy National intelligence requirements. To perform these missions, surveillance and reconnaissance operations are conducted in which air, land and sea vehicles obtain information on the disposition, composition and movement of enemy or potential enemy forces through the use of sensing systems. Objective capabilities are:

- An all-weather, 24 hour reconnaissance and surveillance capability, preferably with standoff systems.

- A capability to locate targets with sufficient accuracy to permit use of standoff weapons at considerable ranges.

- A responsive capability against time sensitive targets.

- Adequate numbers of systems.

- A capability to correlate information from diverse sources to produce usable intelligence for commanders in a timely manner.

- Survivability in a high-threat environment.

(C)

(U) The majority of the Program Elements in this Mission Area are managed by OASD(C³I); specifically by the Tactical Intelligence Systems Directorate. There are, however, a significant number of Program Elements managed elsewhere in OUSDR&L; such as SURTASS, a Navy towed-array sound surveillance system for submarine detection; SOSUS, the fixed-array submarine detection system; and other Anti-Submarine Warfare systems. The common point of reference is that the dominant majority of Program Elements in the Mission Area are reported to Congress as Tactical Intelligence and Related Activities.

(C) A. Budget Profile.

(U) B. Representative Programs:

Army

Tactical Intelligence Units (CEWI)
TENCAP activities

Navy

Integrated Tactical Surveillance System
SURTASS
Undersea Surveillance System
CLASSIC WIZARD

Air Force

SR-71 Reconnaissance Aircraft
Tactical Air Intelligence System

(u) C. Major Plans, Studies, or Architectures.

- DoD Plan for Intelligence Support to Operational Commanders
- SENTINEL VECTOR

Mission Area 252

Theater Surveillance & Reconnaissance

FY 81 Budget Request -
(\$ Millions)

HL

Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

OASD(C³I)
C³ Resources

Theater Surveillance & Reconnaissance Mission Area 252

Funding Summary*

	(\$ Millions)	
	<u>FY 1981</u>	<u>FY 1982</u>
252 a. Land Target S&R		
SR-71 Squadrons		
Tac Surv Sys		
Tac Air Intell Sys		
Tac Surv Sys		
b. Surface Target Surveillance		
Fleet Intell Spt Activities		
OTH Targeting		
Aero-Ocean Surveillance		
c. Subsurface Target Surveillance		
U/S Surveillance System		
Ship Towed Array Surveillance		
Sub-Surv Eq Prog		
Surv. Towed Array Sensor		
d. Multifunction and Support		
Space Activities		
Special Dev		
C ² Surv/Recon Support		
Total 252		

Totals may not add due to rounding

* Includes all program elements except partials

~~CONFIDENTIAL~~

DATE: 8 December 1980
DIRECTOR: Mr. Hawkins
ACT OFFICER: CAF. Fisher

Program: Integrated Tactical Surveillance System (ITSS) (u)
PEs 63763N
24572N (Partial PE)

Description: (S)

Funding: (S)


Milestones: (S)

Issues: (S)

~~SECRET~~

(U) Congress: On 3 December 1980 Navy Program Sponsors briefed a staff member of the House Permanent Select Committee on Intelligence on the ITSS concept, source of funds used, FY 81 reprogramming requirements and future plans. Additional briefings of congressional staff members are anticipated.

(S) Potential Problems



DECISIONS Jan - Jun 1981:

MENS Approval

Tactical C² (Mission Area 254)

Narrative Description. The Tactical Command and Control mission area contains fifty-two program elements that are divided between command and control systems for Land, Naval, and Air Forces, as well as identification, airborne early warning and multifunctional systems and interoperability programs. The systems in this mission area perform force level and maneuver control, early warning for air, ground and sea elements of aircraft and/or missile attack, air control, identification friend or foe and provide for the development of joint interoperability for tactical command and control systems. What is the situation today in Tactical C²? Most of our operationally tactical C² systems, except for Air Control/Air Defense operations are largely manual. They are deficient in timeliness, capacity and quality/accuracy of data exchanged; they are aging, with low reliability and they are expensive (man-power intensive) to operate; and in most cases, are not interoperable. Thus, we are making a major effort to upgrade the capability of all Services by increasing automation where practical, providing improved data distribution systems, accentuating standardization of hardware and software for tactical applications, promoting improvements to the acquisition process for C² systems, and strongly emphasizing and supporting the program to effect Joint Interoperability of Tactical Command and Control Systems (JINTACCS). We are designing our systems to be mobile and/or hardened where needed with maximum application of ECM resistant communications and distributed data bases for maximum survivability.

From a funding standpoint, the Tactical C² area is dominated by these programs for airborne target detection and tracking: the Navy's E2C HAWKEYE aircraft for over the ocean air target detection and tracking and the Air Force E3A Airborne Warning and Control System and the NATO Airborne Early Warning and Control (AEW&C) program. Together these systems account for \$1.3 Billion or 65% of this sub-mission area's FY 81 funds. These are all airborne surveillance platforms and real time air battle command and control systems. The capabilities of the E2C and E3A to detect low flying aircraft over water and (especially the E3A) over land in a high electronic counter measures environment are exceptional. The deep-look capability of the E3A provides a surveillance and command and control capability over and beyond the battlefield heretofore known in modern air warfare. In addition, in the NATO arena, we and most of our allies are procuring the E3A and ancillary European ground facilities as the solution to the NATO airborne early warning requirement.

There are several other very important DoD initiatives in the tactical C² area that warrant discussion. The Joint Tactical Information Distribution System (JTIDS) is a key development and production program both in the U. S. and potentially within the NATO countries. It is a high capacity secure/anti-jam data link which will be the primary data distribution system for tactical use by

U. S. forces. Our NATO allies are also seriously considering JTIDS for their tactical data needs and it has been selected for adoption as the NATO airborne early warning aircraft's ECM Resistant Communications System. In addition, the JTIDS design is a strong candidate for the future NATO Multi-functional Information Distribution System now being defined by the NATO Tri-Service Group on Communications and Electronics equipment. Another initiative is the expansion of the Joint Interoperability for Tactical Command and Control Systems (JINTACCS) program to include the interface with other NATO Nations' systems. We are also cooperating with several other NATO nations to start development of the NATO Future Identification System. This will be a multi-faceted effort to include all aspects of the IFF problem; i.e., aircraft to aircraft, helicopter to tank, tank to tank, etc. This effort represents an opportunity for U. S. and other NATO Nations' industries to cooperate/team to meet common goals.

As noted above, we are also in the process of implementing new procedures for developing and putting these systems into the field. The new process emphasizes the evolutionary nature of C² systems and the need to let them be adapted in the field through close interaction with the user. We hope that application of this new process will accelerate the fielding of C² systems.

Budget Profile

	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP (82-86)</u>
RDT&E	345.7	352.6	
PROCURE	1092.3	1057.6	
O&M	616.8	654.5	

Major Programs:

- E-3A AWACS
- NATO AEW&C
- IFF Developments
- JINTACCS
- PLRS
- PLRS/JTIDS Hybrid
- E-2C "Hawkeye"

NOTE: Program Summary Sheets for each program above are attached.

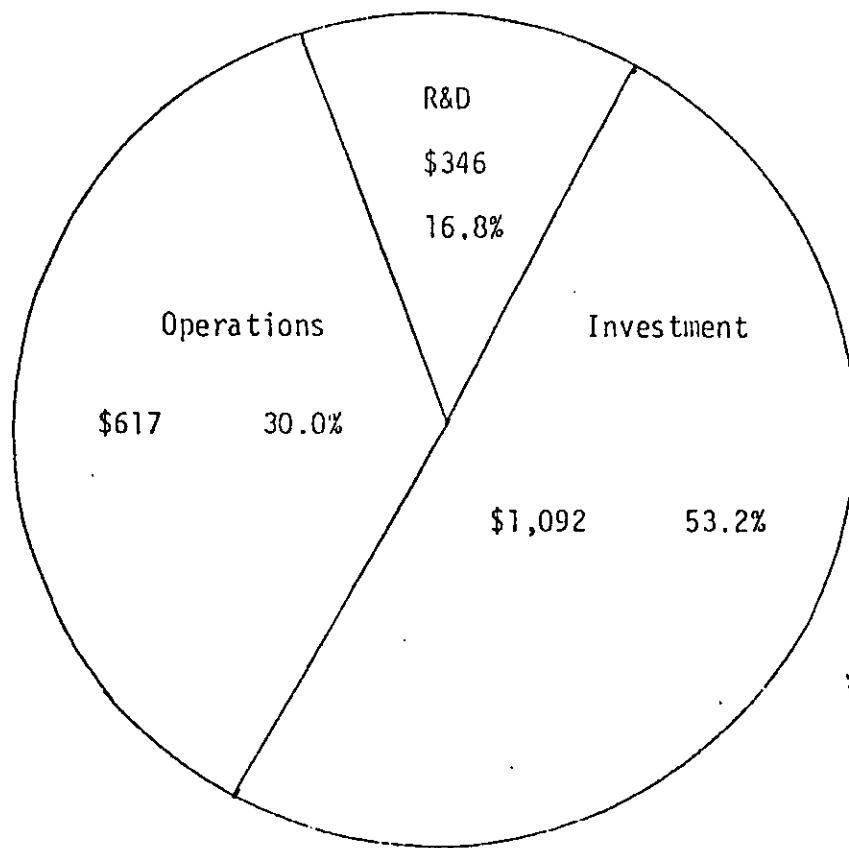
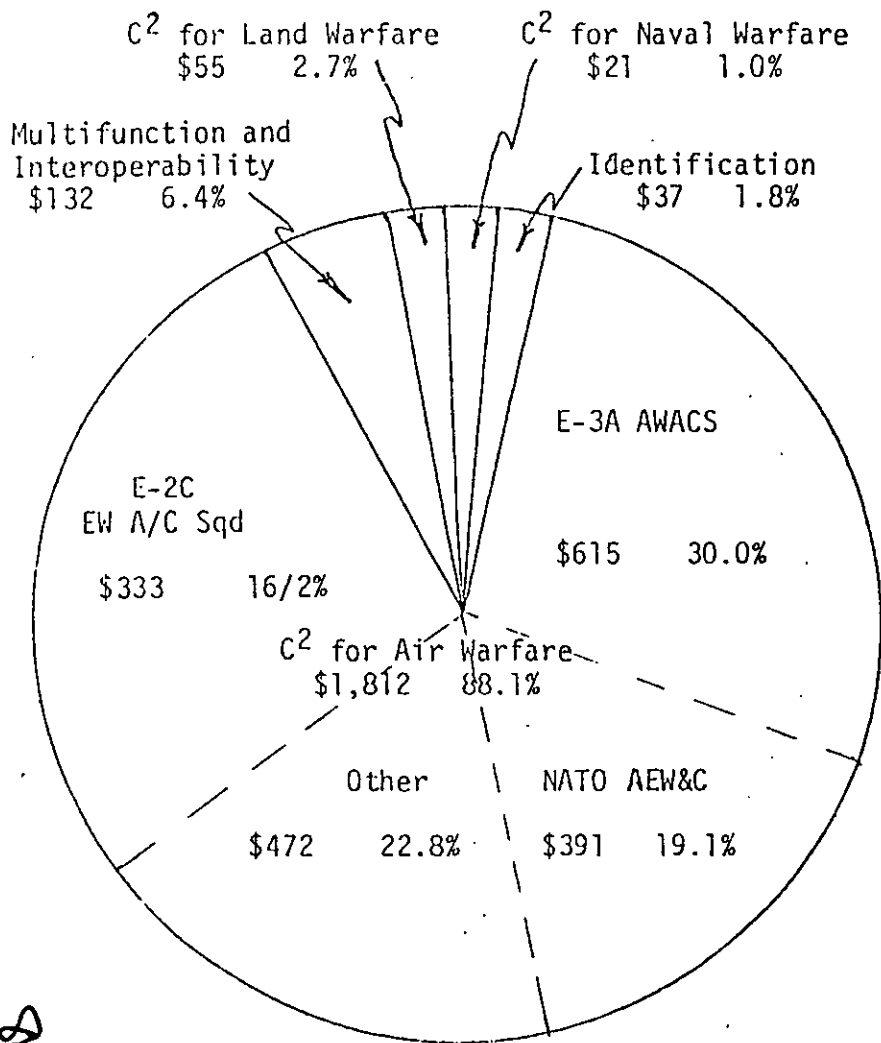
Major Plans:

- Army, Army Command and Control Master Plan
- Navy, Navy C² Plan
- Air Force, Tactical Air Forces Integrated Information System Master Plan
- DoD, Long Range Theater/Tactical C³I Resource Plan

MISSION AREA 254

TACTICAL C²

FY 81 Budget Request - \$2,055 M
(\$ Millions)



Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

~~CONFIDENTIAL~~

OASD(C³¹)
C³ Resources
5 Dec 80

Tactical Command & Control Mission Area 254

Funding Summary*

		(\$ Million)	
		<u>FY 1981</u>	<u>FY 1982</u>
254	a. C ² for Land Warfare	16.8	15.3
	Ops C ² Info Sys	11.4	11.6
	MC C ³ Sys	26.4	16.0
	C ²	(54.5)	(42.9)
	b. C ² for Naval Warfare	4.4	4.7
	CV Tact Spt Ctr	1.0	7.7
	Combat Sys Integration	9.0	9.0
	C ² Sys	6.4	10.7
	Combat Info Ctr Conversion	(20.9)	(32.1)
	c. C ² for Air Warfare	391.7	375.1
	NATO AEW&C Program	332.6	360.7
	Early Warning A/C Squad (E-2C)	290.4	216.9
	Tac Air Cont Sys (Op Ctrs, Comm. Sqdns)	6.5	10.9
	Tactical C ² Sys	615.5	648.1
	Tactical Abn C ² Sys (E-3A AEW&C)	10.7	10.8
	C ² Warning (ANG)	5.5	6.2
	Early Warning A/C Squad	86.7	80.7
	Tactical Air Control Sys (ANG)	64.6	68.4
	Comm Units (ANG)	7.4	7.9
	Air Control	(1811.6)	(1785.6)
	d. Identification	-	3.5
	NATO Identification	1.0	3.9
	Adv Identification Techniques	3.1	12.6
	IFF Development	14.8	13.0
	Tactical Identification Sys	3.2	4.6
	AIMS/ATCRBS/MARK XII	3.3	5.2
	IFF Equipment	11.1	10.3
	A/C Identification Sys	(36.6)	(53.1)
	(Congress has reduced the Ident Program from \$36.6 to \$13.3)		
	e. Multifunction & Interoperability	1.2	6.2
	TAC Interoper/Info Spt Sys	-	6.9
	Adv Sys Integration Demo	14.2	22.8
	Tact. Automation	9.2	15.4
	C ³ Adv Dev	-	5.1
	PCOTES	12.2	11.8
	Tact C ³ Sys Eng	42.3	31.0
	MC C ³ Sys	48.9	52.1
	Jt Interoper Tact C ²	3.4	-
	Battlefield Sys Integration	(131.5)	(151.5)
	Total 254	(2055.0)	(2065.2)

Totals may not add due to rounding

... program elements except partials &

~~CONFIDENTIAL~~

DATE: 8 December 1980
DIRECTOR: Mr. Cittadino
ACT OFFICER: Col Myer

PROGRAM: Joint Tactical Information Distribution System (JTIDS)

DESCRIPTION: JTIDS is a jam-resistant, secure, high-capacity digital information distribution system for the tactical combat environment. It is a joint-Service acquisition program with technology and equipment tailored to specific Service needs for the exchange of command and control, status and tactical information among all equipped forces. It employs time division multiple access (TDMA) and spread spectrum techniques to support data and voice links. Basic TDMA Class 1 command terminals are in production for U. S. and NATO AWACS and their ground C² interfaces, while Class 2 tactical (TDMA) terminals and advanced Distributed TDMA terminals are approaching full-scale development for tactical aircraft, combatant ships and ground-based platforms.

<u>FUNDING:</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP (82-86)</u>
Air Force (RDT&E)	60.0	87.6	
Navy (RDT&E)	32.0	67.1	
Army (RDT&E)	3.1	16.1	

<u>MILESTONES:</u>		
Production of Class 1 TDMA terminals (for AWACS, C ²):		Jul 80
IOC of Class 1 TDMA terminals (on U.S./NATO AWACS, C ²)		Mar 83
DSARC IIA (Full-scale development of Class 2 TDMA terminals)	Jan 81	
DSARC IIB (Full-scale development of DTDMA terminals)	late-81	
DSARC III (Production of tactical terminals)	mid-86	

ISSUES:

Funding: Potentially high costs to equip all forces is of major concern to the Air Force. Cost reduction options will be part of development.

Operational: /

DECISIONS: Jan-Jun 81.

DSARC IIA - Jan 81
DSARC IIB - late 81

D. TEL 8 December 78.
DIRECTOR: Mr. Cittadino
ACT OFFICER: Col. Myer

PROGRAM: TACS Communications

DESCRIPTION: Program provides military personnel, O&M funds and special interface equipment to support the Air Force's ground-based Tactical Air Control System (TACS)'s connectivity and restoration of communications for tactical air bases. All communications equipment and their units (3 groups, 1 squadron) are in mobile status for war or contingency missions. Procurement funds are primarily for 31 Adaptable Surface Interface Terminals (ASIT) that will provide mobile JTIDS interfaces between AWACS and the ground TACS. Future acquisitions will include digital communications terminals, manpack radios and additional TACS equipment.

<u>FUNDING:</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP(82-86)</u>
Procurement	3.9M	42.3M	<
O&M and Mil Pay	48.7	49.3	<

MILESTONES:
ASIT DT&E/IOT&E complete -- Sep 80
ASIT production decision -- Jul 81
(JTIDS equipment already in production)

ISSUES:

DATE: 5 December 1980
DIRECTOR: Mr. Cittadino
ACT OFFICER: Col Myer

PROGRAM: NATO AEW&C

DESCRIPTION: Program provides for U.S. share (42%) of procurement of 18 AWACS aircraft and European ground C² interface and basing facilities for NATO. AWACS aircraft will be in a jointly developed U.S. - NATO Standard configuration to assure cost/schedule efficiency, mission effectiveness and interoperability. Thirteen nations are participating in various aspects of the program, to include coproduction. U.S. funds and support are a National commitment. The force will be NATO-owned and operated.

<u>FUNDING:</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP(82-86)</u>
Procurement	382.0M	358.2M	
O&M and Mil Pay	9.6	16.9	

<u>MILESTONES:</u>	
U.S. offered AWACS to NATO	- Oct 73
NATO study and contract definition	- 74-78
Nations signed program acquisition MOU	- Dec 78
Unique development and production start	- Mar 79
First aircraft delivery to Europe (for integration)	- Feb 81
First NATO AWACS IOC	- Feb 82
Last NATO AWACS operational	- Jun 85

ISSUES:

DECISIONS:

PROGRAM: E-3A Airborne Warning and Control System (AWACS)

DESCRIPTION: The E-3A AWACS (Air Force "Sentry") is an airborne radar surveillance and communications system that provides early warning and command and control for both worldwide tactical and North American air defense missions. Its overland lookdown radar (mounted on a modified 707-type airframe) provides long-range deep-look monitoring of hostile airspace, while its onboard computing and other avionics support its communications and force management functions. AWACS's jet-speed mobility allows it to deploy worldwide in hours to meet contingency requirements and to function in either a patrol or station-keeping role. Modifications (in production) will meet both U.S. and NATO requirements for better sea surface surveillance, a larger computer, and the JTIDS ECM-resistant communication system. The U.S. program is 34 aircraft; of which 22 have been delivered.

FUNDING:

	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP (82-86)</u>
RDT&E	66.2	53.8	
Procurement (incl mods)	284.3	294.3	
O&M & Mil Pay	174.2	130.1	

MILESTONES: DSARC III - Dec 75
Production Start - Jun 76
IOC - Mar 78

ISSUES:

Enhancements:

DECISIONS: (Jan-Jun 81)

None

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SECRET

DATE: 5 December 1980
DIRECTOR: Mr. Cittadino
ACT OFFICER: Col Myer

PROGRAM: E-2C "Hawkeye"

DESCRIPTION: The E-2C is a Navy carrier-based airborne early warning aircraft to support battle group operations. It provides early warning of approaching hostile air and surface units, vectors interceptors, and supports other force management and communication functions. Improvements to the radar, computer and passive detection system are planned. Current allocation is 4 E-2Cs per carrier; 50 are operational and production continues at 6/year. A modest RTD&E program is being conducted in this program to improve the E-2C system. This program is based on an analysis of the projected ECM and target threat to the U. S. sea control forces. The R&D program commenced in 1979 to modify (1) antenna weapon replaceable assembly (WRA) for the APS-125 radar subsystem, (2) two of the ten memory WRAs on the OL-77/ASQ Computer Programmer, and (3) frequency coverage of the ALR-59 Passive Detection System (PDS).

<u>FUNDING:</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP (82-86)</u>
RDT&E	20.1	19.3	
PROCUREMENT	264.0	290.7	
O&M MIL PAY	48.5	50.7	

MILESTONES: DSARC III - Jun 71
Production Start - FY 72
IOC - FY 74

ISSUES: None

DECISIONS: (Jan-Jun 81)

None.

(U) PROGRAM: IFF Developments

(U) DESCRIPTION (U) The functions of IFF are provided by a combination of three elements: (1) operational procedures; (2) a direct question and answer (Q&A) component, and (3) an indirect component. Introduction of new equipment must include consideration of present procedures and procedures in turn should be revised to accommodate the introduction of new equipment. Obtaining identity from a direct communication with an unknown target is the role of the direct Q&A component. It is widely recognized that a direct Q&A is an essential part of any IFF system. The indirect component which provides the means to achieve fusion of multiple inputs within the overall C³ structure is also viewed as an important and necessary element of total system.

(S)

(U) Direct IFF Program: The Q&A development program contains three efforts: (1) the development of a next generation NATO inter-operable system which conforms to the characteristics of STANAG 4162 (including hardware fabrication, and investigation of transition platform integration studies, cost effectiveness studies); (2) the investigation of L-Band alternatives to the draft STANAG 4162; and (3) development near-term improvement to the existing Mark XII for the interim time period.)

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DESCRIPTION (Continued):

(U) The US has committed to the completion and confirmation of STANAG 4162 as the basis for further development. It was determined that this document contained the performance parameters and was sufficiently definitive to scope the state of the art needed to proceed with the award of 3 concept definition contracts to industry. These contract awards were made in October 1980. The concept definition contracts will be followed in one year by the award of one or more prototype hardware development contracts.

(S)

(U) At the same time, there will be an investigation of various L-Band systems which will be considered as alternatives if the STANAG-compliant system is not cost-effective or has an unacceptable technical risk. The attractiveness of L-Band is based upon the existence of the Mark XII in that band and the very sizeable number of US weapon systems which include that system.

(U) Independent of our dedication to the development of a next generation of NATO interoperable systems, it is apparent that we will have to depend on our Mark XII capability through a transition period which will probably extend into the early to mid 1990s. Consequently, we continue to pursue the development of improvements to assure maximum utility of that system to meet the threat and to assure coexistence with the evolving civil environment.

(U) Indirect IFF Program: Although it has ^{Not} received priority equal to the direct IFF development, an indirect IFF capability is a necessary adjunct to the overall system. Work is proceeding on the development of an architecture to imbed the indirect IFF function into the existing and emerging C³ framework. Utilization of multiple sensor information which can be processed within the existing C³ structure with both friendly and enemy identifications distributed to friendly weapon systems in near real time offers the potential of a high pay-off at relatively low cost. A test bed has been established to evolve an optimum architecture and demonstrate its effectiveness.

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88

DESCRIPTION (Conti. sec)

(u) In addition, the US Air Force is working with the FRG on a European demonstration on indirect capabilities in 1981. This demonstration will incorporate inputs of sensors from both nations into a fusion algorithm contained in a CRC. Identification information will be distributed to various weapon systems locations. The US welcomes participation of other nations in this indirect IFF work. The US plans to study the French SINTACS/JTIDS approach and participate in a joint effort, if appropriate.

(u) In October 1980, the Secretary of Defense approved the Charter establishing a Joint Program Manager for the U.S. Combat Identification System which effectively put the management of all U.S. IFF efforts under a single manager. The Air Force has been designated as lead service and has established the joint program office at Wright Patterson AFB.

<u>FUNDING:</u> (u)	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP</u>
<u>RDT&E</u>			
Army	2.9M	2.0M	
Navy	6.7M	6.8M	
Air Force	11.0M	6.3M	
<u>Procurement</u>			
Army	0	0	
Navy	0	0	
Air Force	0	0	

MILESTONES: (u)

- Confirm STANAG 4162 within NATO by January 1981.
- Complete investigations of alternatives for direct Q&A by early 1982.
- Award contracts for hardware development of direct Q&A in FY-82.
- Complete development/operational tests on Mark XII improvements in FY-82.

ISSUES: (5)

DECISIONS: (Jan-Jun 1981)

None

~~SECRET~~

DATE: 8 December 1980
DIRECTOR: Mr. Cittadino
ACT OFFICER: Mr. Cittadino

PROGRAM: Joint Interoperability of Tactical Command and Control Systems

DESCRIPTION: The JINTACCS program is an effort to achieve compatibility, interoperability, and enhance the operational effectiveness of selected operational facilities and supporting tactical command and control systems of the military Services and Agencies in joint operations. The JINTACCS Program is also responsible for assisting the OSD, OJCS, Services and Agencies in their efforts to achieve compatibility and interoperability of U. S. tactical command and control systems in NATO and for ensuring that these activities are in harmony with the joint U. S. interoperability efforts of the JINTACCS Program. The program's range of operations include:

- o developing the management structure and procedures for joint interoperability.
- o developing architecture and engineering implementation plans and documents that specify joint technical standards.
- o conducting tests to ensure compatibility and interoperability.
- o demonstrating operational effectiveness.
- o establishing interface design standards for JCS approval for joint tactical command and control systems.
- o supporting configuration management of the standards established.

In developing and administrating the JINTACCS Program, consideration has and is being given to NATO reporting systems, the JCS joint reporting structure and systems, quadripartite standardization agreements, NATO standardization agreements and the Services/Agencies reporting systems. The Army performs as Executive Agent for this program and as the Service responsible for NATO affairs in tactical interoperability.

<u>FUNDING:</u>	<u>RDT&E</u>	<u>FY 81</u>	<u>FY 82</u>
	Army	23.2M	33.4M
	Navy	9.3M	7.1M
	Air Force	13.0M	7.4M
	Marine Corps	1.1M	1.3M

MILESTONES: Complete Intelligence operational effectiveness demonstration during SOLID SHIELD EXERCISES - SPRING 1981.
Develop and coordinate a U. S. Master Plan to interface with the developing NATO Interoperability Plan - FY 81.
Continue efforts to implement U. S. Master Plan - FY 82.
Plan and execute U.S./NATO Interoperability Testing FY 83-86.

ISSUES: - Service agreement on a message standard for JTIDS (TADIL J).
Lagging efforts on standards for automated systems.
Availability of FY 81 funding for cost growth incurred on test
center development.

DECISIONS: Jan - Jun 82:

None.

PROGRAM: Command and Control (PLRS)

DESCRIPTION: The Position Location and Reporting System (PLRS) is a joint USA/USMC development program to produce a tactical system capable of tracking users (airborne, vehicles, dismounted), providing them with position/location information and reporting their movement and location to the tactical commander. Each user unit will be capable of transmitting and/or relaying data to computers in one of the two master units which control the system for an Army Division or Marine Corps Amphibious Landing Force. Commanders will use PLRS to obtain friendly force information. Users will obtain accurate data on their own position, the range and bearing to desired units or locations, navigation data on designated flight corridors and locate and/or obtain proximity to zones and boundaries of friendly units. NAVSTAR GPS will be used to initialize the PLRS master units and will thereby translate the common worldwide grid of GPS to Army and Marine Corps PLRS users thus creating a common "grid-lock" with other Services GPS users.

<u>FUNDING:</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP</u>	<u>Total</u>
Army RDT&E	25.2M	15.0M	/	
Procurement	0	22.2M		
USMC RDT&E		2.5M		
Procurement	0			

<u>MILESTONES:</u>	
Development Test II	FY 81
Type Classification	FY 82
Production Decision	FY 82
Develop Training & Skill Performance Aids	FY 82
Conduct European, Arctic & Tropic Certification Test	FY 82
Complete Supply and Maintenance Support Package	FY 83
IOC	FY 84
Production Continues	FY 83-86

ISSUES:

DECISIONS: Jan-Jun 81

Type classification 1Q 82
 Production decision FY 82

DATE: 8 December 1980
DIRECTOR: Mr. Cittadino
ACT OFFICER: Mr. Cittadino

PROGRAM: Army Data Distribution System (ADDS: PLRS/JTIDS Hybrid)

DESCRIPTION: In order to resolve a very serious battlefield deficiency, the Army plans to provide a first generation data distribution system through the integration of the PLRS and JTIDS equipment. The PLRS/JTIDS Hybrid provides for the deployment of expanded PLRS equipment at battlefield elements requiring position location and low to medium capacity digital information exchange. The JTIDS Class II equipments will be deployed at elements having a high data rate exchange requirement. Interchange of data between the two systems will be provided through an interface at the PLRS net control station where a JTIDS terminal will be located and interfaced. Present program efforts include the design and testing of the PLRS and JTIDS terminals. Initial integration efforts of the JTIDS and modified PLRS terminals into a testbed will begin in 1982.

<u>FUNDING:</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP</u>
RDT&E	18.8M	15.6M	

MILESTONES: IOC: FY 86

ISSUES: -

DECISIONS: Jan-Jun 81:

Note.

~~SECRET~~

ASD
PDASD
DASD J. Babcock
Director C. Hawkins

(u) Mission Area 255: Tactical Reconnaissance, Surveillance and Target Acquisition

(u) The primary mission of programs in this area is to support tactical force commanders with the intelligence information they require for the battle management functions of planning, maneuver and targeting. Collection and processing capabilities covering a range of disciplines including SIGINT, RADINT, PHOTINT and ACOUSTINT are required by all Services. These capabilities provide the operational commanders with sensor information on location, capabilities, and intentions of enemy forces. Tactical commanders are primarily concerned with four general classes of activity:

- Allocation of uncommitted resources
- Maneuver of forces
- Fire mission decisions
- Fire control or targeting

(u) For these commanders, the single most important criterion in the design of any combat intelligence support system is timeliness. Under tactical conditions, the time-scale is often constrained to minutes or fractions of an hour. Mobile targets must be reported on in a time consistent with the speed, geography, range, and degree of lethality in each particular scenario. Virtually all military actions that can be considered as alternatives by a tactical commander also require some finite lead time to be effective. Timeliness can be realized, when the situation demands, by dedicating current National or theater assets to the exclusion of all competing requirements. However, to provide regular capability to tactical commanders requires more than a one-time dedication of National or theater assets; it requires the maintenance of an organic tactical intelligence, reconnaissance, surveillance and target acquisition capability, complete with related communications networks and data processing.

(u) For example, the missions of fire support and Close Air Support (CAS) direction are basically equivalent; they both involve the delivery of weapons upon targets - fire mission decisions and fire control. This mission is oriented towards small enemy units, artillery, and mobile SAM/AAA units. The objective

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is to reduce the rate of presentation of these nodes in the battle space. Hence, the requirement is for targeting accuracies, corresponding frequency of coverage and timeliness of collection.

- (u) The typical Marine Air-Ground Task force presents a different type of requirement for operational intelligence support. In this type of campaign, the objectives are shorter-ranged and presumably directed against an enemy force less sophisticated, albeit as locally powerful, as the types of opposition to be planned for by the Army, Navy and Air Force. Marine intelligence needs are similar to Army needs in the area near the line of contact, but less stringent at longer ranges.
- (u) While tactical commanders require more timely and accurate data than theater commanders, they can accept shallower geographic coverage. The details, of course, vary with the specific maneuver element, which can range from a tactical air command through a division/brigade to a naval battlegroup. The specific and detailed requirements for each maneuver element will be different, but there is a generic similarity which permits grouping for planning and system selection purposes.
- (u) Mission Area programs have the general objectives of: augmenting and improving our existing capabilities; extending range and coverage; increasing information processing, dissemination capability and sensor/system interoperability and reducing vulnerability to deliberate electronic countermeasures. The key goal in the mission area is to acquire an appropriate mix of sensors and compatible platforms, with interoperability through common equipment and/or jam-resistant data links. Specific objectives are to provide the following capability to the tactical commanders on an all-weather 24-hour basis:
 - (u) - Timely and accurate information on location, identification and movement of enemy forces in the combat area for targeting and increased effectiveness of combat maneuver elements.
 - (u) - A responsive target engagement capability with precision target locations to effectively counter superior numerical forces of men and equipment.
 - (u) - Automatic passive 24-hour surveillance and targeting of enemy personnel and vehicle movements up to 150 km behind the FEBA.
 - Detection and location of enemy weapons systems.
 - (u) - Fire adjustment data for friendly weapons from battlefield or ocean surveillance sensors.

(u) Previously, the OSD responsibility for the management of Program Elements in this Mission Area was assigned to various directorates in OSD according to their force structure relationship. This assignment of responsibility facilitated the essential close coordination with the force structure, but did not adequately stimulate cross-program and interoperability tradeoffs; among Services and with National intelligence systems. In October 1980, as an element of a major realignment of program responsibility, the Director, Tactical Intelligence Systems was dual-hatted as Director, Tactical Reconnaissance, Surveillance and Target Acquisition (TRSTA) to assure greater recognition of such cross-program considerations.

(u) Activities in the Mission Area include:

1) Sensor subsystems which gather information about the location, movement, and activities of enemy forces, and

2) Fusion Centers which assemble, integrate, and display enemy force activities to decisionmakers who then assess the threat and command the appropriate response.

(S)

(S)

Tactical Fusion Centers provide automated assistance to the correlation of intelligence data from multiple sources to achieve a near-real-time display of the ground tactical situation and provide targeting information. The purpose is to assist commanders by developing current enemy situation assessments and target nominations for weapons delivery. The Army All-Source Analysis System (ASAS) and the Air Force Automated Tactical Fusion Division (ATFD) are being jointly developed for this purpose, and will draw upon knowledge gained from the BETA testbed experience.

While the responsibility for the majority of Program Elements in this Mission Area is now assigned to the Director, Tactical Reconnaissance, Surveillance and Target Acquisition, there are notable exceptions: Army Stand-Off Target Acquisition System, Remotely Piloted Vehicles, and unattended ground sensors; Navy intelligence-related centers contained within overall ship construction and acquisition programs, and; Marine Corps Sensor Control and Management Platoons.

A. Budget Profile: (\$M)

Fiscal Year	<u>FY 1981</u>	<u>FY 1982</u>	<u>FY 1983</u>	<u>FY 1984</u>	<u>FY 1985</u>	<u>FY 1986</u>
	1053.7	1167.5				

B. Representative Programs:

Army

SOTAS
REMBASS
Remotely Piloted Vehicles

Navy

TARPS
Reconnaissance Squadrons
Ship Intelligence Centers

Air Force

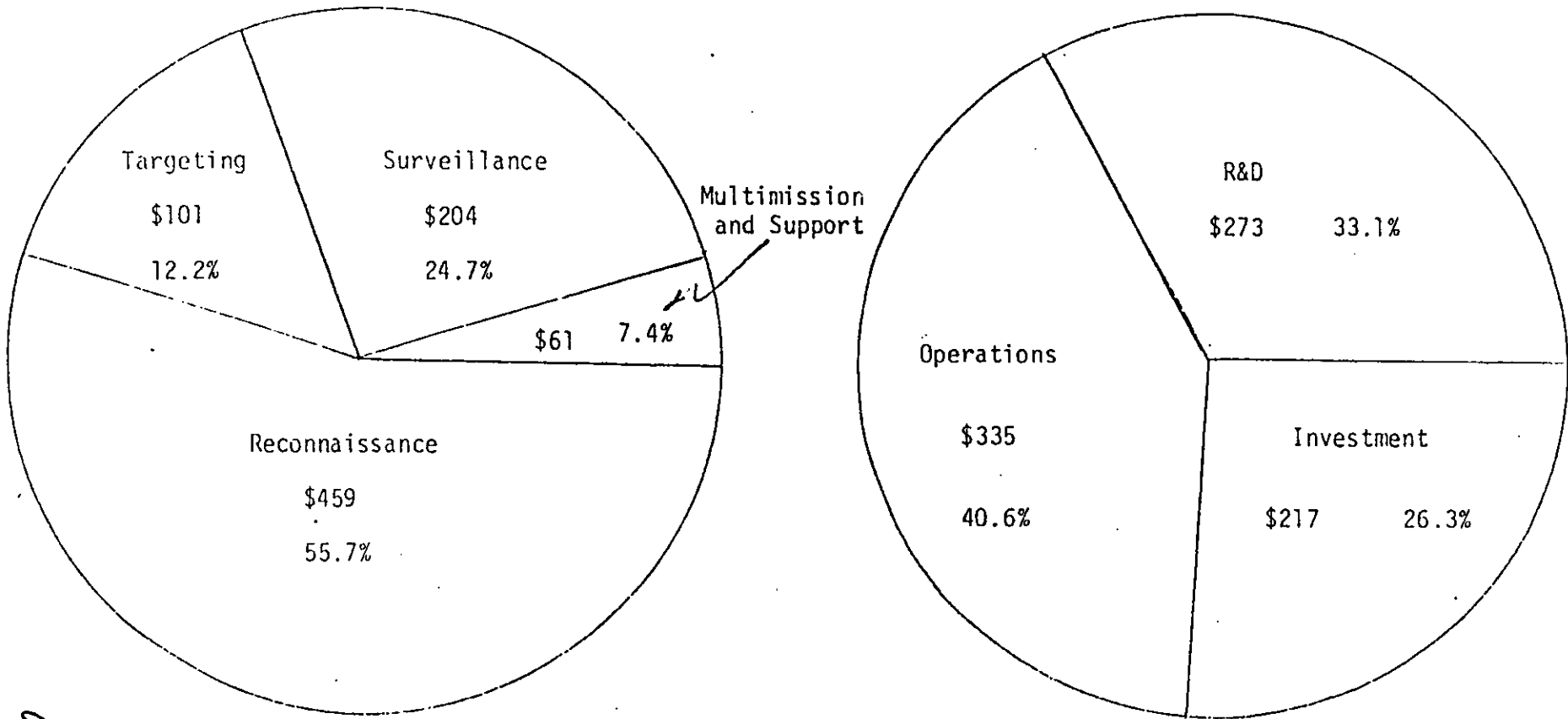
TR-1 Reconnaissance System
Side Looking Airborne Radar
PLSS
Reconnaissance/EW Equipment
RF-4C Squadrons

~~CONFIDENTIAL~~

MISSION AREA 255

TACTICAL SURVEILLANCE, RECON. & TGT. ACQ.

FY 81 Budget Request - \$825M
(\$ Millions)



Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

DASD(C³I)
C³ Resources
5 Dec 80

Tactical Surveillance, Reconnaissance & Target Acquisition Mission Area 255

Funding Summary*

		(\$ Millions)	
		<u>FY 1981</u>	<u>FY 1982</u>
255	a. Reconnaissance		
	Recce Squadrons	12.9	4.3
	Marine Tact Recce Squad	27.2	34.5
	RF-4 Squadrons	209.7	203.7
	B/EB-57 Squadrons	15.8	4.0
	Recce Squadrons	5.6	4.2
	RF-4 Squadrons (ANG)	145.6	154.8
	Recon Sensors/Processing Tech	7.0	4.2
	SLAR	27.7	29.8
	Intell Sys	3.0	3.2
	Tact. A/B Recon	4.6	5.6
		(459.1)	(448.4)
	b. Surveillance		
	TR-1 Squadrons	133.8	137.7
	Abn EW Equip	9.5	10.2
	Unattended Grd Sensors	4.1	7.5
	SOTAS	56.8	76.8
		(204.1)	(232.3)
	c. Targeting		
	Location Strike Sys	.3	.4
	PAVE MOVER	13.3	5.3
	Remotely Piloted Vehicles	56.0	62.8
	PLSS	30.9	89.1
		(100.6)	(157.6)
	d. Multimission & Support		
	Tact Intell Processing	1.4	3.3
	MC Intell/EW Sys	1.2	2.9
	Tact Elect Spt Measure Sys	37.4	42.0
	Recce Equip	15.1	14.3
	Navy Integ/Btflld Exploit Tgt Acq	.4	1.6
	Intelligence	5.6	7.2
		(61.1)	(71.3)
	Total 255	824.8	909.6

Totals may not add due to rounding

* Includes all program elements except partials

~~CONFIDENTIAL~~

(u) Program: TR-1 Reconnaissance System

(i) Description: The TR-1 is a tactical reconnaissance variant of the strategic U-TR aircraft. The TR-1 will be equipped with a variety of sensors (depending on mission), including a new synthetic aperture radar (ASARS II) with a high capacity data link and associated ground processing facilities to provide day/night all-weather battlefield surveillance into the second echelon of opposing forces.

(S) FUNDING

	<u>FY 81</u>	<u>FY 82</u>	<u>\$(M)</u> <u>FYDP</u>	<u>Total</u>
RDT&E				
PROC				
O&M Mil Pay				

(S) MILESTONES:

(S) Production Start:

(S) IOC:

(u) ISSUES:

SECRET

(S) DECISIONS Jan - Jun 1981:

~~SECRET~~

Date: November 25, 1980
Director: D(EW&C³CM)
Action Officer: Mr. Porter

(U) Program: Precision Location Strike System (PLSS)

(S) Description:

(U) Funding: (\$M)

	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP</u>	<u>Total</u>
RDT&E	30.9	89.1		
Procurement	0.0	0.0		
O&M and Mil Pay	.3	2.1		

(C) Milestones:

- DSARC II
- System Critical Design Review
- Begin System Integration
- Begin DT&E/IOT&E
- DSARC III
- IOC (first production system)

(C) Issues:

Technical:

(U) Decision: Jan-Jun 81 - Support reprogramming action to restore PLSS to \$62.6M or support a "tailored" (\$30.9M) program.

DATE: 8 December 1977
DIRECTOR: Mr. Cittadino
ACT OFFICER: Mr. Cittadino

PROGRAM: Joint Tactical Fusion System (JTFS)

DESCRIPTION: This is a joint program to develop fusion center capability for the Army and Air Force. This joint system will provide automated assistance to the correlation of intelligence data from multiple sources to achieve a near-real-time display of the ground tactical situation. The purpose is to assist Army and Air Force battlefield commanders by developing current enemy situation assessments and target nominations. This program is an outgrowth of the BETA program and the JTFS will make optimum use of BETA developed hardware and software.

The program responds to the Congressional guidance to redirect the BETA project to the joint development of a tactical fusion capability which meets the requirements for the Army's All Source Analysis System (ASAS) and the Air Force's Automated Tactical Fusion Division (ATFD). In concert with this guidance, this program provides a management structure which preserves the joint nature of the development, maximizes the current investment in BETA, allows for both common and specific software development, makes maximum use of common hardware and provides for competitive development.

Fusion is the process of melding intelligence and related command and control data from multiple sources, to portray an accurate and timely display of the tactical situation which allows a commander to employ forces in time to offset or disrupt the maneuver scheme of opposing forces. The output of the fusion process, as it relates to the ASAS and ATFD, is the dynamic ground battlefield situation display and generation of immediate target nominations. The first product assists the commander in assessing the current ground situation, while the second reflects prioritization of target importance based upon that assessment. The need for automated systems to perform the fusion function stems from the magnitude of the postulated threat forces and the concomitant high volume of collector data that are available, particularly from computer supported sensor systems which gather data in near-real-time. The volume of sensor reports is expected to increase dramatically in the future from the current level of hundreds of reports/hour to a potential of thousands of reports/hour. Experience in developing interface to photographic, electro optic and radar imaging systems, ELINT collectors, COMINT and HUMINT sources, and moving target indicating radar in the BETA program provides confidence that new collectors can be accommodated within existing reporting standards.

The fundamental elements of a fusion system are: the communications processors which receive the sensor inputs and disseminate correlated product to appropriate commanders in the form of target nominations and order of battle displays; the central processors which perform the correlation function; the microprocessor based graphic terminals which manipulate and display the correlated data; and the software which accomplishes the various functions. Software is a significant portion of the development effort, for example the BETA software utilizes 380,000 instructions, in support of the fusion process.

DESCRIPTION (Continued):

The plan for fielding of AFIS/WFE is based on an Integrated Joint Program Management Office, guided by a General Officer level Steering Committee and reporting to Headquarters PARCOM with the US Army as the Lead Service. The program includes parallel activities necessary to reach an Initial Operating Capability (IOC of FY-85) required by the Army and Air Force.

<u>FUNDING:</u>	<u>FY-81</u>	<u>FY-82</u>	<u>FY-83</u>	<u>FY-84</u>	<u>FY-85</u>	<u>TOTAL</u>
RDT&E	42.0	82.31				
Procurement		7.19				
OSM & Mil Pay						
Total	42.0	89.50				

Available
in FYDP

Shortfall

MILESTONES: Contract award 2Q FY-82
Complete DT&E/OT&E 2Q FY-85
IOC 3Q FY-85

ISSUES:

DECISIONS: Army and Air Force must decide by January 1981 on FY-81 reprogramming or the program will revert back to the alternate plan which leads to an FY-87 IOC.

Tactical Communications (Mission Area 256)

Description: This mission area includes those programs, systems, equipments, and organizations in support of both Reserve and Active Forces. The tactical communications units provide the capability for installation, operation and maintenance of equipments and systems for voice, message, and data communications with and between tactical echelons, with other Military Services, the Defense Communications System (DCS), and Allied forces in support of command and control, administrative, intelligence and logistical functions. The equipments used are either airborne, shipboard, or land mobile and provide net radio communications or wide area multi-channel switched systems in support of DoD land, air and sea tactical forces. The various tactical communications programs must facilitate interoperability between the Services and with the general purpose forces of our Allies. The equipments are typically procured in large numbers and can impose substantial burdens for maintenance and logistics support. The tactical communications programs are designed to protect our essential command and control functions from hostile counter-communications efforts. Communications Security Equipment (COMSEC) and Anti-jamming and ECCM techniques play a vital part in the development and procurement of these tactical communications systems. COMSEC, however, is funded in a separate mission area.

Budget Profile. The majority of RDT&E funds are for TRI-TAC, SINGARS-V, Air Force Advanced Communications Systems and Ground Mobile Forces Satellite (GMF) communications terminals. The major investment programs are TRI-TAC, GMF terminals, Army Combat Support Communications Equipment, Theater Nuclear Forces Communications equipments, SINGARS-V radios and HAVE QUICK, SEEK TALK and Navy ARC-182 Combo radios. The major operational expenditures are for Satellite (LEASAT) Leasing and Civilian and military salaries.

Funding (\$M)

	<u>FY 81</u>	<u>FY 82</u>	<u>FY 82-86</u>
RDT&E	364.6	524.3	
Investment	633.0	847.8	
Operations	393.6	429.9	
No. Personnel	23,368	24,648	

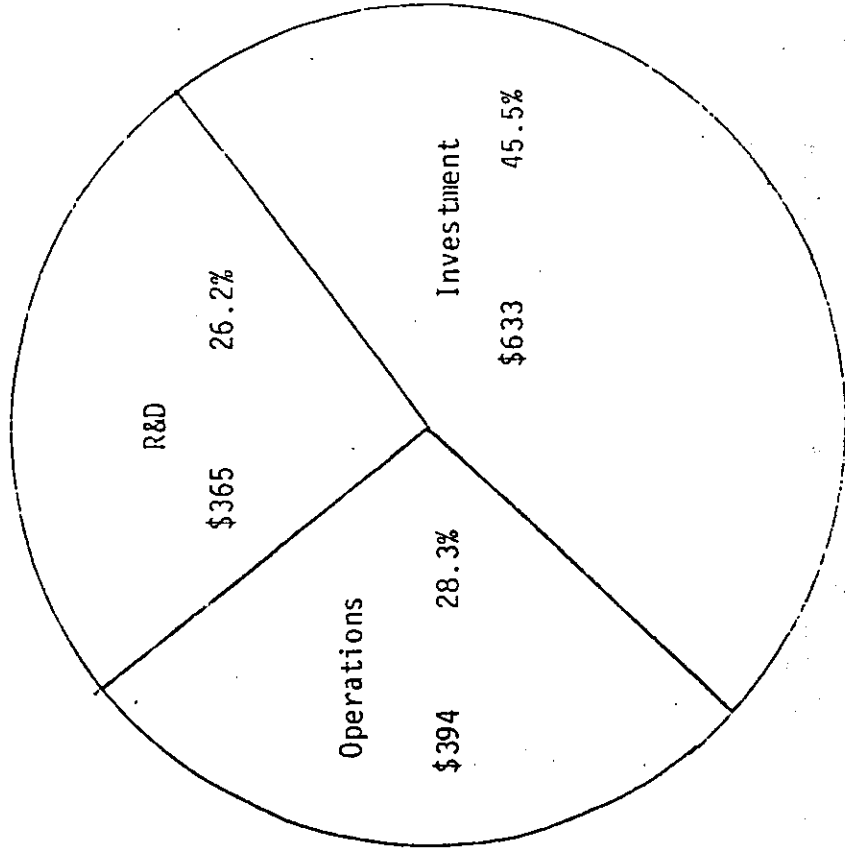
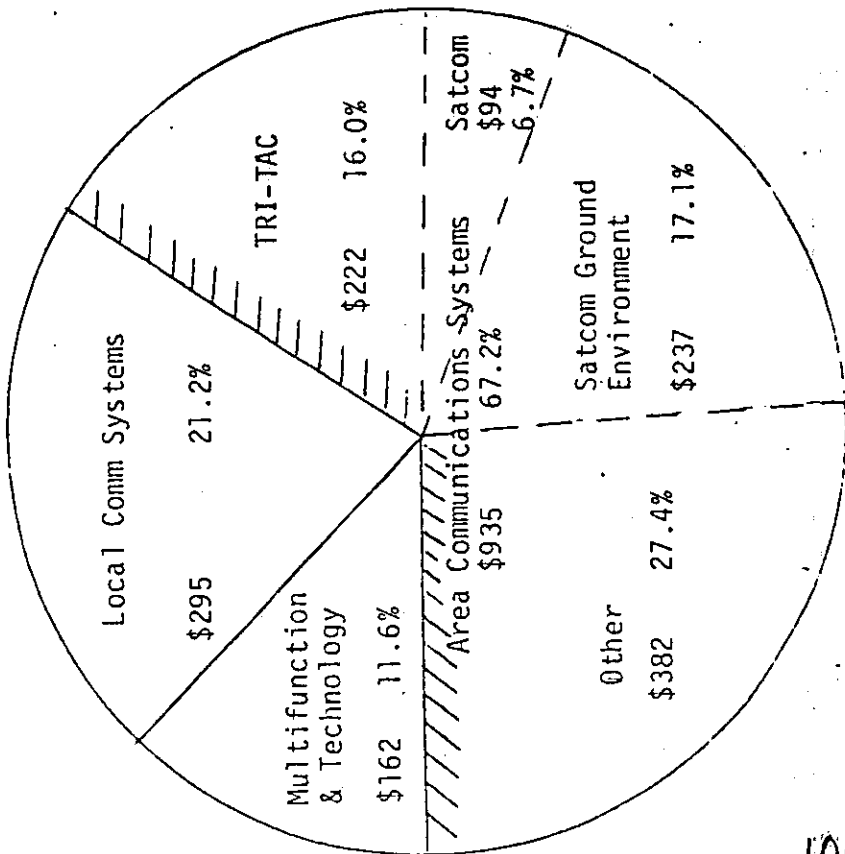
Major Programs:

- Ground Mobile Forces (GMF) Satellite Communications Program
- Theater Nuclear Forces (TNF) Communications Improvements
- Advanced Communications Systems (HAVE QUICK, SEEK TALK)
- Army Combat Support Communications

MISSION AREA 256

TACTICAL COMMUNICATIONS

FY 81 Budget Request - \$1,391M
(\$ Millions)



Tactical Communications Mission Area 256

Funding Summary*

	(\$ Millions)	
	<u>FY 1981</u>	<u>FY 1982</u>
256 a. Area Communications Sys		
US Readiness Cmd-Comm	23.4	31.3
Comm Spt - Alaska Spec Msn	5.0	5.1
Tac Spt - Comm Units (EUR)	101.4	116.9
Comm Spt - (EUR Spt)	3.2	3.2
Tac Spt - Comm Units (PAC)	11.0	12.7
Comm Spt (PAC Spt)	.1	.1
Tac Spt - Comm Units (FORSCOM)	129.7	138.9
Tac Spt - Comm Units (OTH Conus)	.3	.3
OAWCS-Comms	4.6	1.8
Tac Air Control Sys	52.6	91.6
Command Comm (TAC)	32.2	37.0
TRI-TAC	222.2	323.0
Satellite Comm (FLTSAT/LEASAT)	93.9	88.8
Satcom Grd Environ	237.4	220.0
Sat Comm Terminals	15.8	39.7
Intra-Theatre Imaging	2.2	.5
	(935.1)	(1111.0)
b. Local Communications		
Fleet Telecom (TAC)(Ship Tac Equip)	39.7	65.7
MC Telecomm	24.5	30.3
Adv Comm Sys (HAVE QUICK/SEEK TALK)	61.5	60.7
Combat Spt Comm	133.3	237.1
Adv Comm Data Sys	.4	5.4
Comm Development	4.6	6.5
SINGARS	16.2	15.7
Submarine Comm	9.2	7.6
Comm Eng Dev	5.0	10.0
	(294.6)	(438.9)
c. Multifunction & Technology		
Tact Info Sys	32.0	67.1
Adv Space Comm (Tac Satcom II/Laser Com)	27.3	51.5
Adv Comm	3.3	5.0
JTIDS (Discussed under C ²)	94.8	122.9
Adv Comm Tech	4.2	5.6
	(161.7)	(252.0)
Total 256	1391.3	1802.0

Totals may not add due to rounding

* Includes all program elements except partials and NFIP

Date: December 6, 1980
Director: Mr. Salton
Action Officer: Mr. Hartigan

Program: Ground Mobile Forces (GMF) Satellite Communications Program

Description: The GMF Program is the acquisition of tactical satellite communications ground terminals to satisfy the requirements of Army, Air Force, Marine Corps and RDF. The terminals being procured operate at SHF utilizing the DSCS satellites or at UHF utilizing GAPFILLER or FLTSATCOM satellites. The SHF terminals will be equipped with anti-jam (AJ) communications capability. Although the GMF terminals are scheduled to start delivery in early 1983, the AJ capability will not be added until one year later. Of the UHF terminals, only the AN/MSO-64 terminals being deployed in support of tactical nuclear forces (TNF) will have an AJ capability.

The overall GMF concept is to utilize satellite communications capability in support of tactical commanders. The Army commenced their terminal procurement utilizing FY 79 funds and will equip their terminals with Army tactical multiplex which is presently deployed throughout all Army tactical units. The Air Force delayed their GMF terminal acquisitions until FY 81 so that they could obtain terminal equipped with TRI-TAC compatible equipment. The Marine Corps terminals will also be equipped with Army-type multiplex. The Army is the procuring activity for all satellite terminals for all requirements. Air Force and Marine Corps will fund for their terminals requirements.

While the GMF terminals are being planned for deployment in support of tactical requirements, interoperability between the GMF and DSCS will be achieved through the gateway concept. That is, there are fifteen large fixed DSCS satellite ground stations that will be equipped with GMF equipment to terminate GMF links when required to do so. This will only take place when specified by the JCS or NCA. These gateway stations will also be equipped with tactical AJ equipment so that interoperability in an AJ environment will also be possible. While interoperability is possible, it will require prior coordination to preempt the GMF terminal out of its present tactical network into a strategic network through a DSCS gateway terminal. This will be accomplished through the Army GMF control terminal AN/TSO-114 which will be in constant communications with the DSCS control network and all GMF terminals. All GMF terminals will have the same type tactical AJ equipment and therefore will be interoperable in an AJ environment.

<u>Funding (Estimated) (\$ in Millions)</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FY 82-86</u>
<u>RDT&E</u>			
Army	10.8	16.8	
<u>Procurement</u>			
Army	59.6	46.5	
Air Force	15.8	27.8	
Marine Corps	6.0	3.6	

Milestones:

- Delivery of first AN/MSC-64 UHF satellite communications terminal to Europe in support of communications for tactical nuclear forces. September 1981.
- Production start for Air Force GMF terminals AN/TSC-100 and AN/TSC-94. May 1981.
- Exercise contract option utilizing FY 81 Army and Marine Corps funds for the second buy in the multi-year contract for the AN/TSC-85 and AN/TSC 93 GMF terminal. February 1981.

~~SECRET~~

Date: December 6, 1980
Director: George Salton
Action Officer: A. Hartigan

Col. J. MANBECK

(U) Program: Theater Nuclear Forces (TNF)
Communications Improvements

Description:

- (U) The present near term improvement will provide online secure teletype over the ECCCS and will also extend the ECCCS to those remaining U.S. Custodians through lease facilities that were not part of the system in the past.
- (U) With regard to the Cemetery Network, new and more reliable equipment is being procured for the network control station (NCS) and the communications relay control stations (CRCSs). Since the present NCS & CRCSs are all located in Germany, better system control was considered achievable if additional CRCSs could be located outside German and south of the Alps. The near term improvements will provide one additional CRCS in the southern flank to achieve this improvement. In addition a secure teletype will be added to the Cemetery Network.

(c)

(c)

a nuclear environment. R&D funding will also support the TNF C³I arch tec ure for communications improvements.

(S)

(u) The entire set of recommended system improvements will be reviewed in January-February, 1981 and implementation decisions will be made. Follow-on work in developing the TNF-C³I architecture will focus on European targeting, intelligence, etc., as well as TNF C³I requirements in the Pacific Command (PACOM).

(u) FUNDING (Estimated) (\$ in Millions)

	<u>FY 1981</u>	<u>FY 1982</u>	<u>FY 1982-86</u>
<u>RDT&E</u>			
Army	2.0	2.0	
<u>Procurement</u>			
Army	9.0	23.6	
Navy	0.0	0.9	
Air Force	0.9	2.9	

(u) MILESTONES

(u) ISSUES: None.

(u) DECISIONS - Contract award for new HF radios for the Detachment and Firing Teams to be awarded at the end of 1981.

- How the Regency Net (HF radios supporting the Detachments and Firing Teams) will communicate with the UHF satellite terminal supporting TNF whether they will be collocated.

~~SECRET~~

Date: December 6, 1980
Director: Mr. Salton
Action Officer: Mr. R. Howe

Program: UHF Anti-Jam Radios

Description:

~~SECRET~~

Key:

Funding (Funding profiles currently under development)

Milestones

ISSUES

~~SECRET~~

DATE December 5, 1980

PROGRAM: Army Combat Support Communications

DIRECTOR George L. Salton

ACTION OFFICER R.G. Howe

DESCRIPTION: This program involves procurement of various items of tactical communications hardware other than that being developed by the TRI-TAC program. Included is: procurement of the new family of single channel very high frequency/frequency modulated (VHF/FM) combat net radios (SINGARS); hardware for the Special Forces Burst Communications System (BCS); Steerable Null Antenna Processors to provide jamming protection for some of the current family of combat radios; a new squad level radio (AN/PRC-68); improved teletype equipment to replace 1950 vintage machines; a replacement ground-air portable radio (AN/PRC-113); miscellaneous multiplex equipment, and initial spare replacement parts, and modification of equipment now in service. This procurement provides a baseline for the Integrated Tactical Communications System objective system by updating analog equipment to digital TRI-TAC standards.

Summary of FY-81 and FY-82 Procurement List (Major Items)

<u>Item</u>	<u>Quantity</u>
Hand Crank Generator, G-76	500
Multiplexers (Varions)	10,000
Radio Set AN/PRC-77	5,500
Radio Repeater AN/TRC-152	53
Radio Terminal AN/TRC-151	177
Radio Repeater AN/TRC-113	60
Radio Set AN/GRC-103	400
Radio Terminal AN/TRC-145	86
Data Buffers TD-1065	1,515
Small Unit Transceiver AN/PRC-68	16,400
Radio Set AN/VRC-12	6,788
Teletype Terminals AN/UGC-74	1,768
Field Telephones TA-838	6,500
Steerable Null Antenna Proc.	1,393
Burst Communication Stations	19
VHF Transmission Multicoupler	15,600

FUNDING

MILESTONES

- Continuing procurement of various equipments through the FYDP period.
- SINGARS milestones covered on separate briefing sheet.

Dat . December 6, 1980
Director: George Salton
Action Officer: R. G. Howe

Program: Single Channel Ground and Airborne
System - VHF (SINGGARS-V)

Description: SINGGARS-V is an Army program which is developing a new generation of manpack, vehicular, and airborne VHF radios for the combat forces. The radios will be securable and will include ECCM capabilities including anti-jam techniques. They will replace the Army and Marine Corps AN/PRC-77, AN/VRC-12, and AN/ARC-114 radios. A total of approximately 200,000 radios will be procured.

<u>FUNDING \$M</u>	<u>FY 1981</u>	<u>FY 1982</u>	<u>FYDP (1982-1986)</u>
RDT&E	16.0	15.5	
Procurement	0	0	

MILESTONES

- Three competitive advanced development contracts were awarded in April to:
 - o Cincinnati-Electronics, Teamed with Marconi
 - o Collins Radio Division of Rockwell International
 - o ITT

- DT/OT Phase I Testing Complete Early CY 1982
- DSARC II Mid CY 1982
- Initial Procurement Early CY 1985
- IOC Mid CY 1987

NATO INVOLVEMENT

A bilateral agreement was signed at the U.S. OSD and German MOD level in early 1980 to test and compare U.S. and German ECCM techniques and devices for VHF Combat Net Radios. U.S. and Germany agreed to release the MOU to NATO through the Tactical Radio Equipment Subgroup of the Tri-Service Group on Communications Electronics Equipment. The MOU was released in August 1980. The office of the SINGGARS Project Manager is working on a draft of a second MOU which will detail the procedures to be used for testing the German equipment. This MOU is expected to be completed by the end of 1981. In addition, an MOU was signed in December 1979 between the US, Canada, Belgium, Netherlands, and Italy. This MOU provides for these countries to participate in the SINGGARS ECCM design, testing and selection process. It is hoped that this arrangement will lay a foundation for NATO VHF ECCM standards that will be compatible with the ECCM technique selected for SINGGARS.

Date: December 6, 1980
 Director: George Salton
 Action Officer: R. G. Howe

Program: Joint Tactical Communications Program (TRI-TAC)

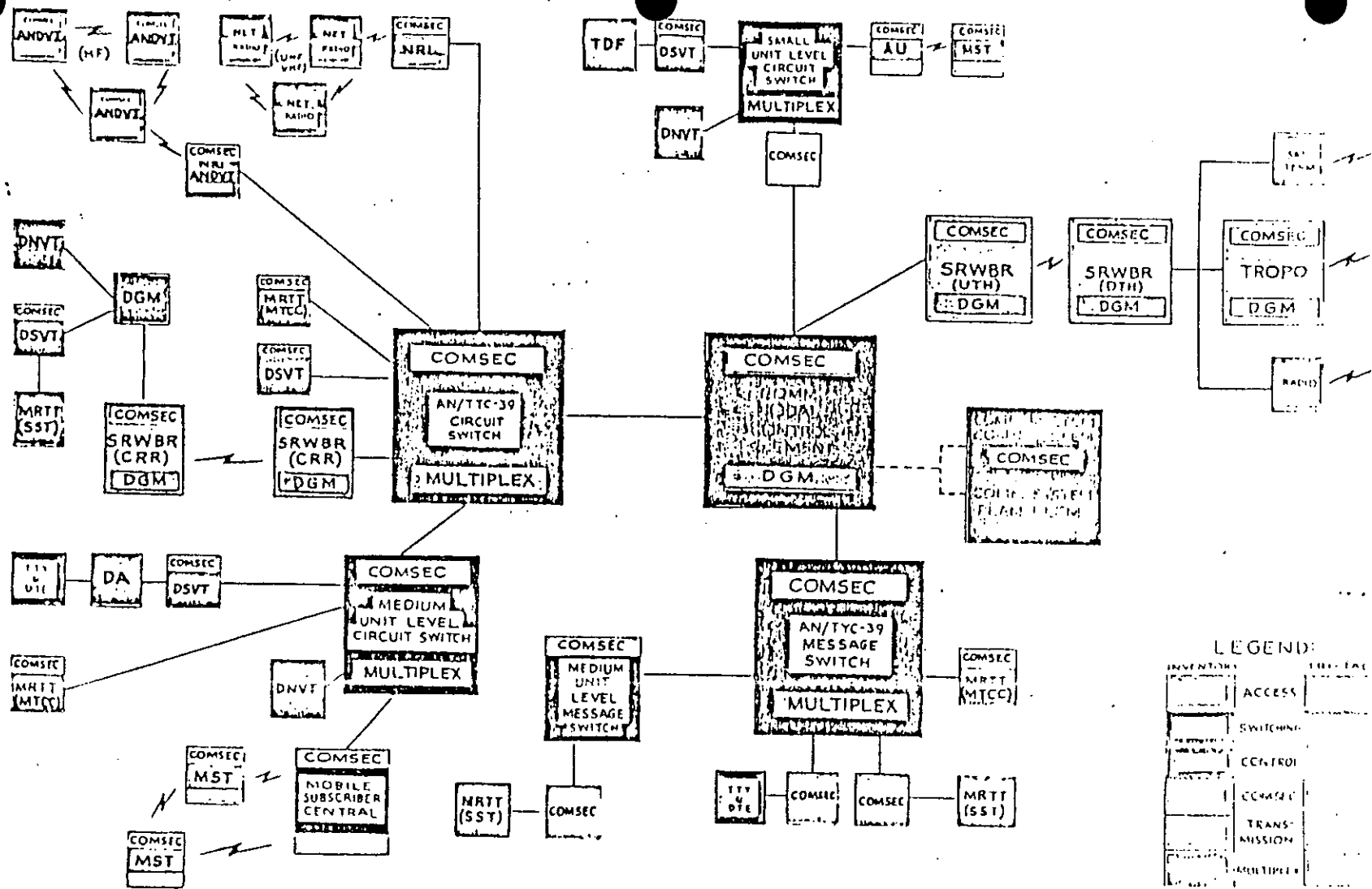
Description: The Program is primarily concerned with design, development and acquisition of switched tactical communications systems on a joint basis. This includes all trunking, access and switching equipment for mobile and transportable tactical multi-channel systems, associated systems control and technical control facilities, local distribution equipment, voice, record, data and ancillary terminal devices and associated communications security equipment. Also included are mobile and transportable tactical single-channel switched systems which may be operated as an independent system or as part of a tactical multi-channel system, and all interface devices for connecting TRI-TAC developed equipment to existing Service systems, the DCS and NATO systems. Typical TRI-TAC system architecture is attached as Enclosure 1.

<u>FUNDING \$M</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP (82-86)</u>
RDT&E	73.8	106.4	
Procurement	141.4	211.3	
MILPERS	6.8	5.0	

<u>MILESTONES (Major Items)</u>	<u>Completion of Govt Tests</u>	<u>First Production Delivery</u>
AN/TYC-39 Message Switch	Completed	Mid CY 1982
AN/TTC-39 Circuit Switch	Completed	Late CY 1982
COMSEC Equipment	Late CY 1980	Late CY 1982
Digital Tropo Terminal	Completed	Late CY 1983
Short Range Wideband Radio	Early CY 1981	Mid CY 1983
Digital Group Multiplex	Early CY 1981	Mid CY 1983
Tactical Digital Facsimile	Mid CY 1981	Mid CY 1984
Communications Nodal Control Element	Late CY 1981	Mid CY 1985
Digital Non-Secure Voice Terminal	Early CY 1982	Mid CY 1983
Unit Level Circuit Switch	Late CY 1982	Mid CY 1985
Modular Record Traffic Terminal (SST)	Mid CY 1983	TBD
Unit Level Message Switch	Mid CY 1984	Late CY 1986
Advanced Narrowband Digital Voice Terminal	Mid CY 1984	Early CY 1987
Communications System Control Element	TBD	TBD
Mobile Subscriber Equipment	TBD	TBD

Detailed schedules attached as Enclosure 2.

LINK TACTICAL SWITCHED COMMUNICATIONS VOICE & MESSAGE TRAFFIC



LEGEND:

SYMBOL	DESCRIPTION
(Solid line)	ACCESS
(Dashed line)	SWITCHING CONTROL
(Stippled box)	COMSEC
(Box with diagonal lines)	TRANSMISSION
(Box with horizontal lines)	MULTIPLEX

Enclosure 1

TRI-TAC ACQUISITION PROGRAMS PROJECT/PROGRAM MANAGERS' FORECAST SCHEDULES

		CY 80				CY 81				CY 82				CY 83				CY 84				CY 85											
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4								
DIR SYSTEM (W/TC-39)	A	DTE/IOTE ^{JUN} Δ				PLT/PATE								NOV				INITIAL PRODUCTION DELIVERIES															
DIR SYSTEM (W/TC-39)	A	Δ				PLT/PATE								JUL				INITIAL PRODUCTION DELIVERIES															
COMSEC (W/TC-39)	NSA	DTE/IOTE ^{MAY} Δ				NOV								NOV				INITIAL PRODUCTION DELIVERIES															
DIR (W/TC-39)	A	Δ				PLT/PATE								JUL				INITIAL PROD DEL															
PO (W/TC-39)	AF	DTE/IOTE ^{OCT}				JUN								NOV				INITIAL PRODUCTION DELIVERIES															
GROUP MUX	A	DTE/IOTE ^{JAN}				MAY Δ				JUN				AUG				INITIAL PRODUCTION DELIVERIES															
DIR (W/TC-39)	A	DTE/IOTE ^{JAN}				MAY Δ				JUN				AUG				INITIAL PRODUCTION DELIVERIES															
CT (W/TC-39)	AF	FSED				DTE/IOTE ^{JUN}				NOV								INITIAL PROD DEL															
VI (7A-954, 1A-984)	AF	JUL				FSED				OCT Δ				DTE/IOTE ^{DIC}				MAR				JUN				INITIAL PRODUCTION DELIVERIES							
F (W/TC-39)	N	FSED				DTE/IOTE ^{DIC}				AUG Δ				MAY				PLT/PATE				MAY				INITIAL PROD DEL							
CT-SSI	A	JAN Δ				FSED				JUN				DTE/IOTE ^{JUN}				NOV Δ				PLT/PATE				INITIAL PROD DEL							
ET-MICC (W/TC-10)	A	JUL Δ				DTE/IOTE ^{DIC}				FSED								MAR				DTE/IOTE ^{OCT}				DTE				PLT/PATE			
ET-MICC (W/TC-10)	A	JUL Δ				DTE/IOTE ^{DIC}				FSED								JUN				DTE/IOTE ^{JAN}				MAR				PLT/PATE			
IS (SR 305/W/TC-42)	MC	FSED				MAR				DTE/IOTE ^{NOV}				NOV								PLT/PATE				INITIAL PROD DEL							
OMSEC (SR 305/TC-42)	NSA	FSED				MAR				DTE/IOTE ^{NOV}				NOV								PLT/PATE				INITIAL PROD DEL							
DIR (W/TC-39)	NSA	FSED				JUL				DTE/IOTE ^{NOV}				NOV								PLT/PATE				INITIAL PROD DEL							
DIR (W/TC-39)	N	VAL ^{MAY} Δ				FSED								JUN				DTE/IOTE ^{NOV}				JUL				PLT/PATE							
COMSEC (W/TC-39)	NSA	VAL ^{MAY} Δ				DTE/IOTE ^{JUN}				AUG				DTE/IOTE ^{MAY}				JUL								PLT/PATE							
MS (W/TC-39)	MC	JUL				FSED								NOV				DTE/IOTE ^{MAY}				OCT				PLT/PATE							
COMSEC (W/TC-39)	NSA	MAR				NOV								FSED				NOV				DTE/IOTE ^{MAY}				NOV				PLT/PATE			
CE (W/TC-16)	AF	TO BE DETERMINED																															
SE	A	TO BE DETERMINED																															
COMSEC (W/TC-39)	NSA	TO BE DETERMINED																															
DIR (W/TC-39)	AF	TO BE DETERMINED																															

LEGEND:
 A. DECISION TO PROCEED WITH FSD
 B. DECISION TO PROCEED WITH INITIAL PRODUCTION
 C. DECISION TO PROCEED WITH FOLLOW-ON PRODUCTION

in enclosure ?

~~CONFIDENTIAL~~

Subject: Fleet Satellite Communications (FLTSATCOM),
Lease Satellite Communications (LEASATCOM)

Description: FLTSATCOM is the Navy's synchronous satellite program operating in the UHF spectrum and being host to the Air Force Satellite Communications (AFSATCOM) package. The FLTSATCOM provides reliable beyond-the-horizon communications for shipboard, airborne and shore-based fleet units. It also provides an anti-jam Fleet Broadcast Capability from Naval Communications Stations to ships at sea. This AJ capability is provided by utilizing spread spectrum modulation and accessing the FLTSATCOM satellite processor at super high frequency (SHF) from large fixed satellite terminals equipped with 60 foot antennas. The signal is converted in the satellite to UHF for down-link transmission to SSR-1 Fleet Broadcast receivers. There are 465 ships equipped with SSR-1 terminals capable of receiving this one-way AJ protected Fleet Broadcast information. Larger ships and major combatants that require reliable two-way communications utilize the AN/WSC-3 UHF transceiver. While the WSC-3 can provide secure voice connectivity, it has no AJ capability; nor does the FLTSATCOM satellite have any method of protecting any Navy transmissions via the AN/WSC-3. For each circuit requirement, an additional AN/WSC-3 will be installed. The maximum number of AN/WSC-3 terminals installed on any ship is five and this occurs on aircraft carriers and flagships. Navy aircraft are equipped with an airborne version of the AN/WSC-3 transceiver.

(C)

Along with FLTSATCOM, the Navy is still utilizing GAPFILLER UHF satellite service it leases from COMSAT General Corporation. The follow-on space segment for FLTSATCOM will also be a lease service obtained from Hughes Communications Services, Inc.

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<u>Funding (\$M)</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FY 82-86</u>
Proc - Navy*	30.0	-	/
Cont** - Navy	30.0	29.3	

Milestones

- Feb 1981 FLTSATCOM Satellite No. 4 launched Nov 30, 1980, will be turned over for operational traffic in the Pacific area.
- Jun/Jul 1981 Launch of FLTSATCOM Satellite No. 5, the last of the FLTSATCOM spacecraft.

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DIRECTOR: Mr. Cittadino

ACT.OFFICER:LTC McLeskey

PROGRAM: Communications, Command and Control (C³) For The Rapid Deployment Joint Task Force (RDJTF)

DESCRIPTION: The RDJTF is, in practice, a four Service reservoir of forces suitable and prepared for rapid deployment in a contingency, coupled with a headquarters which was established in March 1980 at MacDill AFB, Florida. Efforts have been underway since then to determine and to provide the C³ capabilities that would be needed for the Headquarters and for the Service components at each stage - predeployment, deployment and employment of an assigned mission. For the Headquarters element, essential garrison type communications have been provided and support during deployment or employment, in the near term, would come from a combination of C³ assets presently available to U. S. Readiness Command and in the Services. In the longer term C³ requirements include procurement of satellite terminals, high frequency radio equipment, switchboards and record traffic terminals. In addition there is a requirement for increased manning for the communications element supporting the Headquarters.

The Services requirements for the RDJTF are also being addressed. In FY 80 a \$56M budget supplemental was approved by Congress to upgrade shipboard communications, provide communications equipment for the Air Force to support a "bare base" operations concept and buy new high frequency radios and tactical facsimile equipment for the Army. For the longer term procurement is continuing on such items as TRI-TAC equipment and ground mobile satellite terminals. The ongoing Joint Crisis Management Capability (JCMC) program will also provide the Commander RDJTF a significantly improved enroute and initial ground C³ capability. Other ongoing programs in the areas of positioning and navigation and tactical data distribution are programmed and will significantly improve the C³ posture of the RDJTF in the long term.

A comprehensive set of RDJTF requirements is being developed in an OSD study which is scheduled for completion in January 1981.

<u>FUNDING:</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP</u>	<u>TOTAL</u>
Procurement	*30M	15M		

* Reflects an unapproved DoD FY 81 budget amendment for RDF related C³ equipment.

MILESTONES: JCS Validate C³ requirements for Hqs. RDJTF 13 January 1981
OSD complete RDF requirements support study 31 January 1981
OSD develop POM 83 Consolidated Guidance on RDF February 1981
Services program RDF requirements May 1981

ISSUES:

DECISIONS Jan - June 81:

Jan 81 JCS validate Hqs. RDJTF requirements
Feb 81 OSD issue Consolidated Guidance on RDF requirements
Jun 81 OSD review/approve Service POM inputs

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ELECTRONIC WARFARE AND C³ COUNTERMEASURES; MISSION AREA 257

OVERVIEW:

BUDGET PROFILE:

Classified by: ASD(C³I)
Declassify on: 8 Dec 86

~~SECRET~~

MAJOR ACTIONS REQUIRED/FORTHCOMING

(U) Presentation of Electronic Warfare Acquisition Process Review Committee findings and recommendations in briefing format, Action Memorandum, and Committee report to OSD and Service authorities available on/before 10 December 1980.

(U) Completion of Defense Science Board Task Force on Countermeasures by 30 January 1981. Findings and recommendations in briefing format, Action Memorandum, and Task Force Report available on/before 1 March 1981. Study addresses proper balance between hard kill and EW assets in enemy air defense suppression "mix."

(U) OSD review of the Navy/Air Force Advanced Self-Protection Jammer Program, 3 March 1981.

LIST OF DOCUMENTS AND REPORTS

EW AND C³CM

DODD 3222.4, Electronic Warfare Administration

DODD 4600.3, Electronic Counter-Countermeasures (ECCM) Policy

DODD 4600.4, Command, Control and Communications (C³) Countermeasures

Memorandum of Policy #95, Electronic Warfare

NATO Long Term Defense Plan/Task Force 7 Report

DSB Task Force Report on Approaches to Countering Warsaw Pact C³

DSB Task Force Report on Navy C³CM

USAF/USA Counter Mission Analysis

Modern Modulation Trends and Projected Impact on Tactical Reconnaissance and Surveillance Systems

NATO Electronic Warfare Policy MC 64/4

NATO Electronic Warfare Concepts and Doctrine

NATO C³ Countermeasures Policy (Draft)

NATO Major Commanders C³ Countermeasures Concepts (Draft)

Joint Army/Air Force Defense Suppression Objectives Statement

Electronic Warfare Procedures for Employment in Joint Operations

U. S. Army Electronic Warfare Concept

DCP 171, Airborne Self-Protection Jammer

NDCP W0556-SH, EA-6B

DCP 126C, EF-111

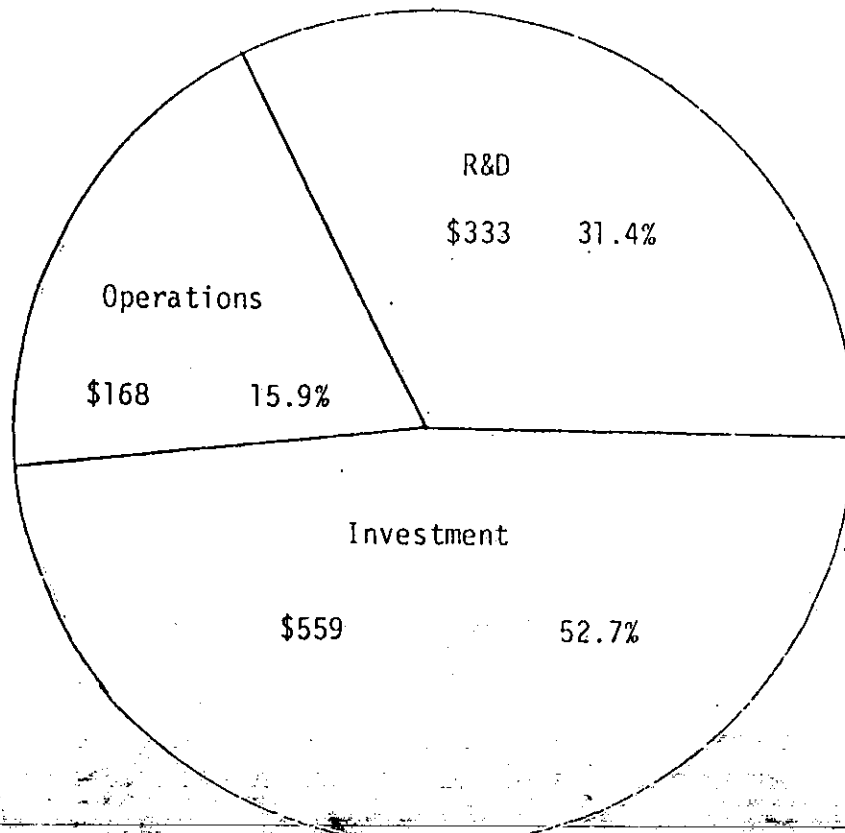
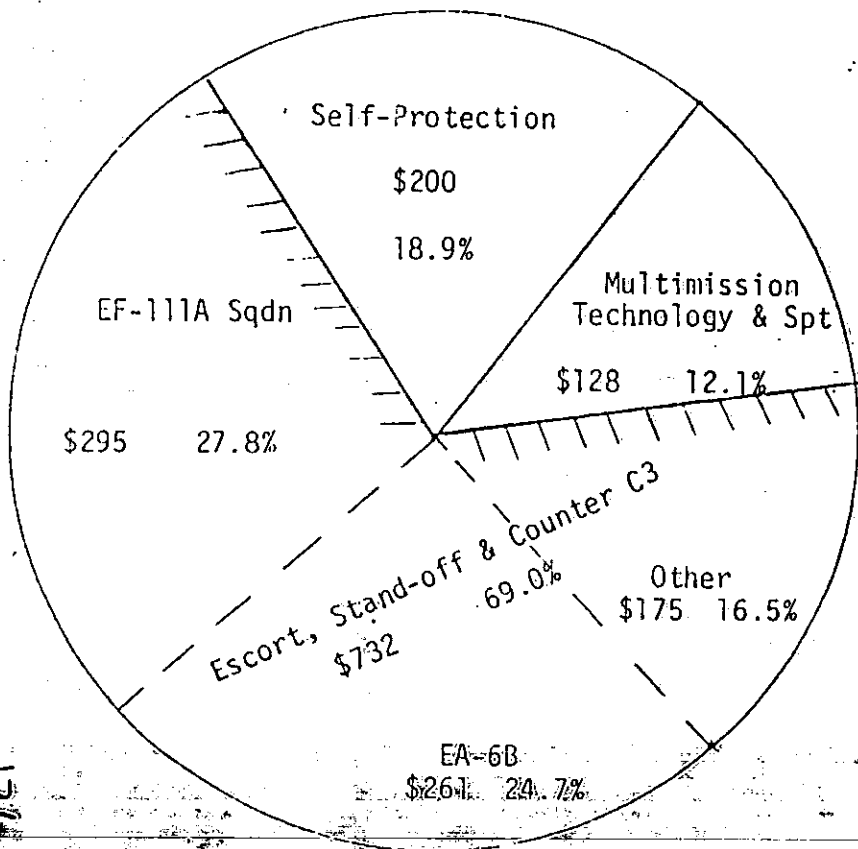
DCP 129, Precision Location Strike System (PLSS)

DCP 130, ASMD-EW Suite

MISSION AREA 257

EW & C³ COUNTERMEASURES

FY 81 Budget Request - \$1,060 M
(\$ Millions)



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Electronic Warfare & C³ Countermeasures Mission Area 257

Funding Summary*

		(\$ Millions)	
		<u>FY 1981</u>	<u>FY 1982</u>
257	a. Self-Protection		
	TacAir IR C/M	4.3	4.9
	Helicopter IR C/M	4.1	5.5
	Surface EW	23.6	21.6
	Acft Surv/EW Self-Protection	20.3	29.1
	Adv Radar Warning	.7	.4
	Adv Self-Protect Sys	29.6	24.3
	NATO Sea Gnat	1.7	3.1
	Shipboard EW Imp	6.5	15.0
	Airborne Self-Protect Jammer	12.5	35.6
	Protective Systems	71.7	87.2
	Tactical Protective Systems	24.9	24.7
		(200.0)	(251.3)
	b. Escort Standoff & Counter C ³		
	Sea Based EW Squadrons (EA6-B)	233.9	220.5
	Shore Based EW Squadrons	49.6	61.7
	EW Counter Response	7.9	10.8
	MC Tact EW Squad	39.0	88.9
	Expendable Drones	5.7	9.2
	EF-111	294.8	290.4
	Compass Call	61.9	35.1
	EC-130 TEWS	14.1	15.3
	Tact C ³	6.3	6.9
	EF-111A	-	5.3
	Tact C ³ CM	15.9	12.3
	System Protection	2.2	-
		(731.5)	(756.4)
	c. Multimission, Technology & Support		
	Cover & Deception	24.3	29.1
	EW Spt Projects	15.8	40.3
	MC Intel/EW Sys	2.6	2.0
	Electromagnetic Combat Spt	5.2	26.3
	EW Vulnerability/Susceptibility	24.4	23.8
	EW Technology	14.6	12.0
	Tac Elec C/M Sys	14.5	32.2
	Air EW	13.9	17.4
	SIGINT/EW Tact Spt	12.7	22.5
		(127.9)	(205.5)
	Total 257	1059.5	1213.3

Totals may not add due to rounding

* Includes all program elements except partials

Background: (U) The EA-6B was first introduced in the fleet in 1971 with limited electronic surveillance and jamming capability designed to counter the electronic warfare threat in Southeast Asia. The aircraft has been in continuous production since introduction to meet USN and USMC force-level requirements. Two significant configuration updates have taken place to meet the constantly expanding and increasingly complex electronic warfare threat. A third configuration improvement, Improved Capabilities (ICAP) II, will commence in 1981. Other long range potential improvements are under study.

Program Element: P.E. 24154N, EA-6B Electronic Warfare Countermeasures Aircraft (U)

Description: (U) The EA-6B is a carrier-based, twin jet, electronic version of the A-6 and is compatible with strike aircraft in speed, range, strength, and maneuverability. The aircraft has a computer controlled electronic surveillance and control system and high power jamming transmitters in various frequency bands. The EA-6B is in production.

Program Element: P.E. 25674N, EW Counter Response (U)

Description: (C)

<u>Funding:</u> (\$M's)	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP</u>	<u>Total</u>
RDT&E (P.E. 25674N)	7.9	10.8		
Procurement (P.E. 24154N)	187.8	217.0		
O&M and Mil Pay	73.5	77.1		

Milestones:

ICAP II, DNSARC IIIA	7/81
ICAP II, ASU	7/82
ICAP II, IOC	7/83

Issues: (C)

Decisions: Jan-Jun, none.

Classified by: D(EM&C3CM)
Declassify on: 9 Dec 86

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Program: (U) Advance Self-Protection Systems (PE 64226N and 64757F)

Description: (C)

<u>Funding:</u> (\$ M's) (U)	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP</u>	<u>Total</u>
RDT&E,N	29.4	24.3		
RDT&E,F	12.5	35.6		
Procurement (USN)				
Procurement (USAF)				
O&M,N				
O&M,F				

Milestones: (C)

Issues: (U)

Decisions: Jan-Jun 81 (U)

- 1) ASPJ and CPMS Source Selection (for single contract team)
- 2) OSD Program Review

Classified by: D(EW&C3CM)

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~~CONFIDENTIAL~~

Date: November 25, 1980
Director: D(EW&C³CM)
Action Officer: Mr. Porter

Program: EC-130H Tactical C³ Countermeasures Aircraft - COMPASS CALL

Description: /

Issues: None

Decisions: Jan-Jun 81, none

Classified by: D(EW&C³CM)
Declassify on: 25 Nov 86

~~CONFIDENTIAL~~

2/10

Program: QUICK FIX

Description:

<u>Funding:</u> (\$ M's)	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP</u>	<u>Total</u>
RDT&E	4.0	2.8		
Procurement	0	4.6		
O&M and Mil Pay	2.0	5.2		

Milestones:

EH-60A Initial Acceptance Test
OT-IIA
Production IPR
IOC

Classified by: D(EN&C³CM)
Declassify on: 25 Nov 86

~~CONFIDENTIAL~~

Date: 25 November 1980
Director: D(EW&C³CM)
Action Officer: Mr. Porter

Program: TACJAM, AN/MLQ-54

Description:

<u>Funding:</u> (\$ M's)	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP</u>	<u>Total</u>
RDT&E	1.0	3.5		
Procurement	62.7	70.2		
O&M and Mil Pay	0	4.6		

Milestones:

Issue:

Decisions: None (Jan-Jun 81)

Program: (U) EF-111A Tactical Jamming System (TJS)

Description: (C)

<u>Funding:</u> (\$ M's) (U)	<u>FY 81</u>	<u>FY 82</u>	<u>FYD</u>	<u>Total</u>
RDT&E	5.6	14.5		
Procurement	277.5	264.3		
G&M and Mil Pay	3.5	10.4		

Milestones: (U)

DSARC III	Dec 78
Production Contract	Mar 79
IOC (18 aircraft)	Nov 83
Complete 42 aircraft modification	Dec 85

Classified by: D(EW&C³CM)
Declassify on: 25 Nov 86

~~CONFIDENTIAL~~

Program: C³ Countermeasures

Description:

<u>Funding:</u> (\$ M's)	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP</u>	<u>Total</u>
RDT&E	76.0	103.0		
Procurement	135.4	168.5		
O&M and Mil Pay	6.2	12.8		

Milestones:

IOC	4 COMPASS CALL Aircraft	4/82
IOC	Integrated COVER AND DECEPTION (ICAD)/ SPS-48 Simulator	6/82
IOC	Integrated COVER AND DECEPTION (ICAD)/ SPS-49 Simulator	8/82
IOC	Off-Board Deception Systems (ODDS) NTDS Simulator	4/84
IOC	Off-Board Deception Systems (ODDS) C-Band Simulator	4/85
IOC	Off-Board Deception Systems (ODDS) F-Band Simulator	12/85
IOC	TACJAM	1/82
IOC	QUICK FIX	12/85

Classified by: ASD(C³I)
Declassify on: 8 Dec 86

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D. Defense-Wide C³I Support (Mission Area 320)

Major Mission Area Overview.

The C³I support systems encompass the areas of: Navigation and Position Fixing, Support and Base Communications, Common-User Communications, Communications Security, and a variety of other architectural and spectrum management functions. The Defense-Wide C³I systems must support the command function between all echelons and have flexibility to cope with evolving threats and be consistent with planned force composition and employment. They provide an essential backbone for our military capabilities and must be designed, implemented and operated to fulfill the following key requirements:

- Accurate, secure, jam-resistant, all-weather/all-hours navigation and position-fixing is needed for precise world-wide control of forces, with a common grid for reconnaissance, surveillance, and weapon-control functions.
- World-wide, jam-resistant secure communications that are resistant to nuclear effects to link decision makers with commanders in the U.S. and overseas.
- U.S. military forces throughout the world need secure jam-resistant voice, digital data, and message services to support general C³ functions.
- It is National policy to protect U.S. government telecommunications which carry traffic essential to our national security from intrusion, deception and exploitation. Protection for CONUS links and a global secure voice switched network are major new efforts.

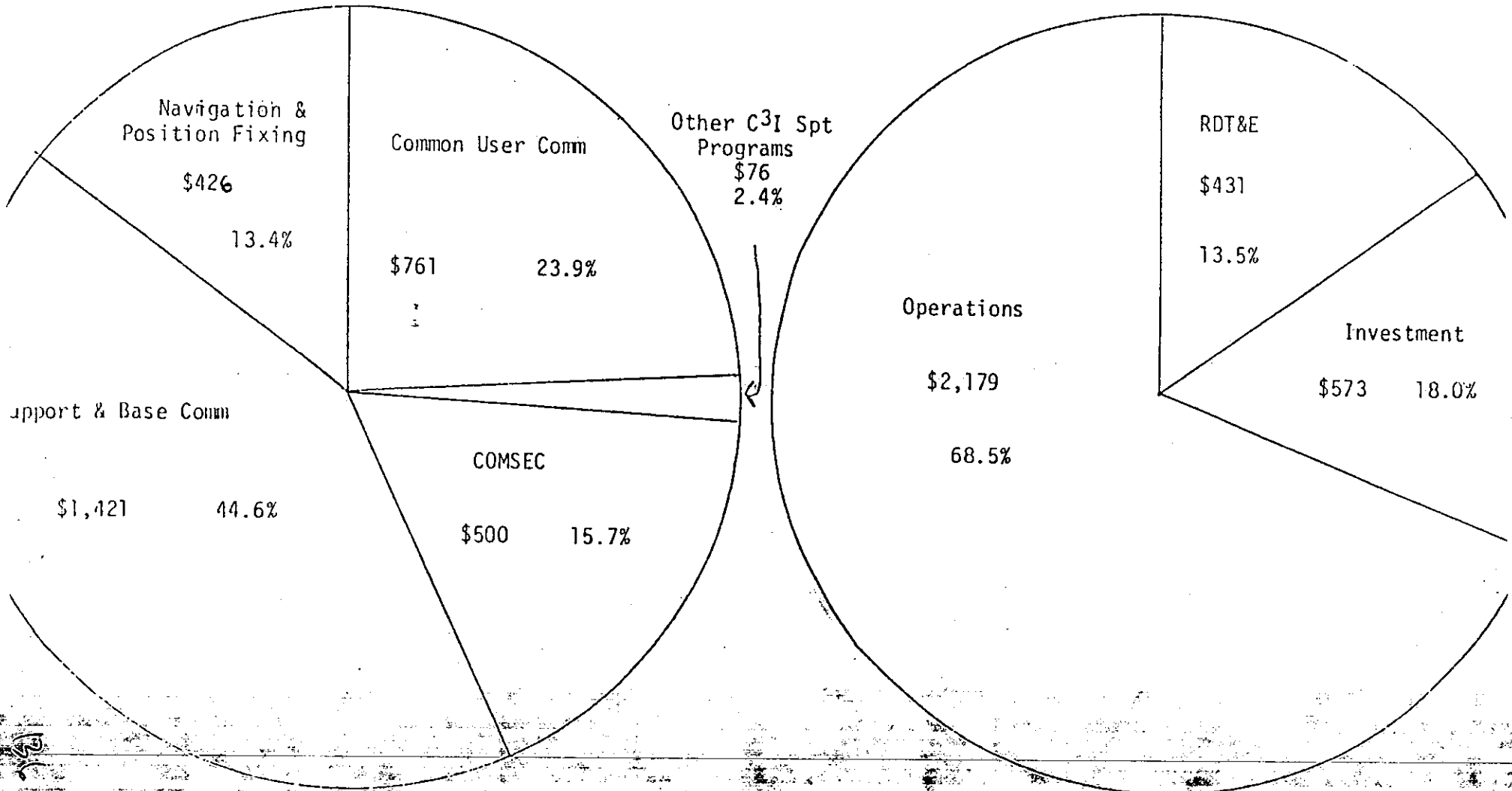
The mission area is highly O&M and MILPERS oriented which utilizes 60 percent of the mission area 320 resource allocations over the period of the FYDP. The development of new techniques and equipments/systems which have a primary goal of reducing both manpower and recurring O&M costs offers the potential for outyear savings. However, additional RDT&E and significant capital investment expenditures in the near-term would be required to achieve the reductions in recurring outyear O&M costs. The development of such techniques for some portions of this mission area has been hampered by low RDT&E expenditures. Efforts which would benefit from increased RDT&E and procurement in this mission area include: digital switching, transmission and technical control facilities; consolidation and automation of facilities; increased reliability in components and simplified installation and maintenance features.

Funding Profile (\$M)

MISSION AREA 320

DEFENSE-WIDE C³I SUPPORT

FY 81 Budget Request - \$3,184 M
(\$ Millions)



Navigation and Position Fixing (Mission Area 321)

Narrative Description. A vital factor in all command and control situations is the need to accurately know where you are, where other friendly forces are, where the enemy is relative to you, and to precisely determine the position of enemy targets. The major purposes of the programs and projects in this mission area are to provide force location, improved weapons laydown, all weather operations, accurate sensor basing and enhanced mobility, reaction, force discrimination and situation monitoring through improved positioning and navigation capabilities for tactical and strategic forces. Effective C2 is not possible without integrated and capable positioning and navigation. The Navigation and Positioning Fixing mission area consists of twenty-four program elements divided among global systems, local systems, autonomous systems (self-contained), and Mapping and Geodesy. The mission areas program of highest interest in the NAVSTAR Global Positions System which is a space based radionavigation system designed to provide worldwide, all weather, day/night, 3D positioning, velocity and time information to any suitably equipped user. NAVSTAR GPS shows great promise for alleviating major requirements deficiencies as well as providing the means for revolutionary advances in the uses of positioning, velocity and timing information. Other new initiatives in unconventional inertial system concepts also show great promise toward providing users with high-quality, high-accuracy, self-contained navigation capabilities that are invulnerable to EW effects. Program Management for this mission area covers significantly more systems than the program elements would suggest. Long-range planning for almost all existing and developing DoD POS/NAV systems is accomplished under this mission area.

The OASD (C³I) responsibilities include being the DoD focal point for all positioning and navigation activities systems management and the related programs. The programs receiving major emphasis at this time are the NAVSTAR Global Positioning System (GPS) and certain inertial navigation efforts. The GPS is expected to be the primary radio navigation system of the future. The importance of GPS does not negate the need for certain local area positioning systems such as the Army/Marine position location reporting system (PLRS) and various self-contained navigation systems for high priority weapons systems which operate in sophisticated electronic threat environments. Therefore, despite the prominence of GPS, we will continue to require supporting improvements to self-contained navigation systems utilizing advanced techniques such as ring laser gyros and strapped-down navigation concepts.

Specific Objectives that we are trying to achieve in this mission area are:

Make maximum use of existing and developing POS/NAV capabilities.

- Accelerate definition of procurement plan and integration schedule for GPS user equipment. Develop integration priorities for users.
- Give high priority to definition of how to benefit for continually increasing operational capability of NAVSTAR GPS.
- Resolve on-going evaluations of GPS selective availability.
- Participate in the resolution of funding/schedule mismatch for IONDS terminal deployment.
- Support OSD and Service involvement in transition planning for MLS.
- Pursue Service evaluation and testing of Army-developed MLS equipment.

Define the best POS/NAV systems mix to satisfy validated requirements.

- Focus continuing efforts on long-range planning for POS/NAV systems mix.
- Develop explicit guidance that implements POS/NAV decisions reflected in the JCS Master Navigation Plan and the Federal Radionavigation Plan.
- Support immediate release of the Federal Radionavigation Plan.

Develop and deploy high performance Inertial Navigation capabilities.

- Continue high priority support to advanced technology efforts such as ring-laser gyroscopes and solid-state strap-down gyroscopes.
- Continue priority efforts to finalize standardized INS F³.

Support multi-national efforts in POS/NAV.

- Pursue definition of cost-sharing alternatives for NAVSTAR GPS.

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- Give high priority to development and implementation of Canadian-U.S. joint development sharing protocol for NAVSTAR GPS.
- Support development and use of NAVSTAR GPS user equipment by NATO participants in the NAVSTAR GPS program.
- Give high priority support to specific U.S./NATO actions to increase/emphasize TSGCEE/SUBGROUP 4 and standardization working activities on POS/NAV Systems.

We are cooperating very closely with NATO in several navigation and positioning projects. Of major importance is the Multi-national Memorandum of Understanding (MOU) on the GPS program. This MOU has brought NATO countries into the GPS program as full-fledged participants in the development of user equipment. NATO representatives are also active members of the GPS Joint Program Office.

Over a billion dollars are spent on positioning and navigation equipment each year in DoD. This includes development, procurement and operation of satellite systems (i.e., TRANSIT and NAVSTAR Global Positioning System); surface, aircraft and ship navigation equipment (i.e., PLRS, inertial navigators, dopplers, TACAN, LORAN, etc.); and surveying systems/equipment. This magnitude of expenditures draws more than the usual amount of scrutiny both within and from without DoD and has led to a continuing multi-agency planning effort of all radio navigation systems to annually produce a consolidated Federal Radio Navigation Plan. The main thrust is to reduce the proliferation of POS/NAV systems and establish phase-in/phase-out schedules. The OMB chairs this effort with DoD (OASD-C³I) DOT, and other involved agencies participating. The first report to the President and Congress is expected shortly. We have already begun the next update revision.

There is a significant amount of interchange and coordination with civilian agencies and organizations in the navigation field. The Director, Theater and Tactical C² is the primary point of contact with the DOT and FAA for all DoD POS/NAV research, engineering and acquisition matters. To sustain the improved planning efforts between the DoD and DOT, a DoD/DOT JOINT RADIONAVIGATION WORKING GROUP and an Executive Committee have been established and are functioning. An FAA/DoD R&D Coordination Committee also functions to coordinate program efforts on systems which have both civil and military implications such as the Joint Tactical Microwave Landing System, Discrete Address Beacom System, GPS, etc. Through this mechanism, potential system and technical problem areas are identified, analyzed and resolved in an orderly manner.

Funding Profile:

	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP (82-86)</u>
RDT&E	188.3	248.1	
INVESTMENT	34.1	154.8	
O&M	<u>203.5</u>	<u>205.3</u>	
TOTAL	425.9	608.2	

Major Programs:

- NAVSTAR GPS - User Equipment
- NAVSTAR GPS - Space & Ground Segment

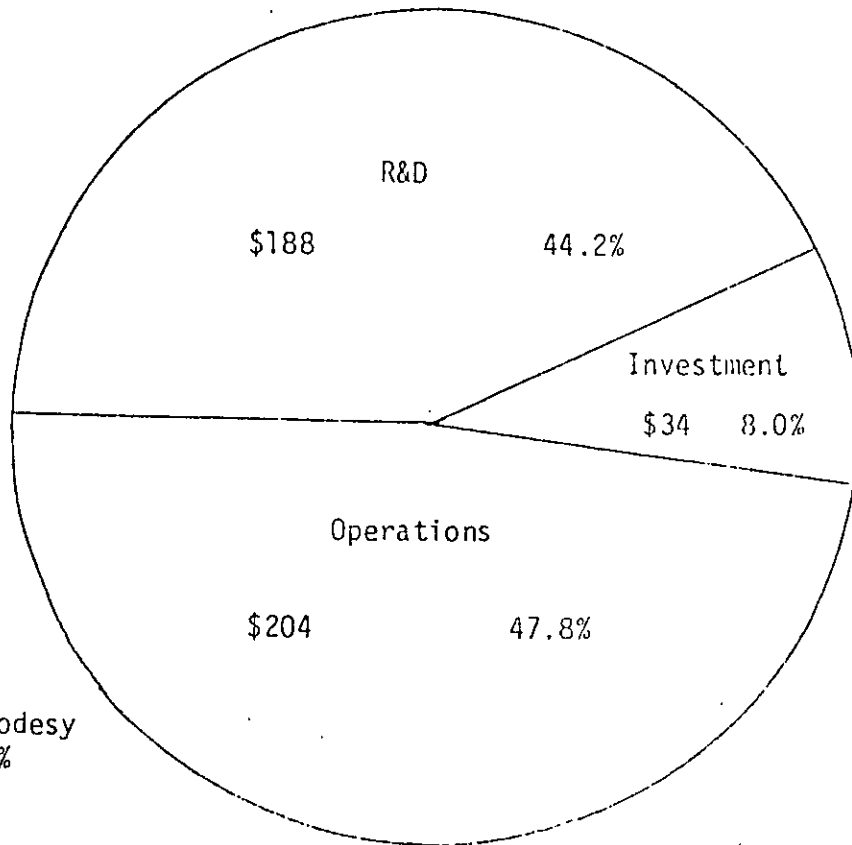
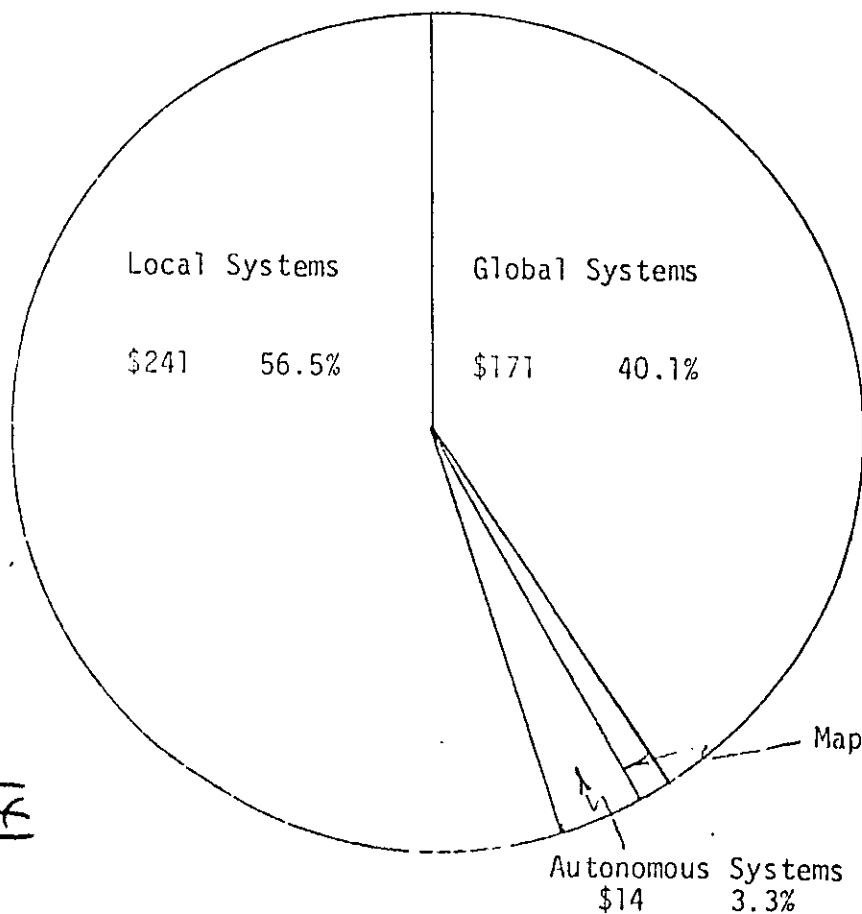
Major Plans:

- Army, Command and Control Master Plan
- Navy, Command and Control Plan
- Air Force, Tactical Air Forces Integrated Information System
- DoD, Long Range Theater/Tactical C³I Resource Plan
- OJCS, Master Navigation Plan
- Federal Radio Navigation Plan

MISSION AREA 321

NAVIGATION & POSITION FIXING

FY 81 Budget Request - \$426M
(\$ Millions)



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Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

OASD(C3I)
C3 Resources

Navigation and Position Fixing Mission Area 321

Funding Summary*

		(\$ Millions)	
		<u>FY 1981</u>	<u>FY 1982</u>
321	a. Global Systems		
	NAVSTAR GPS (Space/Grd)	.3	120.5
	Navigation Satellite	5.5	17.1
	NAVSTAR GPS (User Eq)	165.0	204.0
		(170.8)	(341.6)
	b. Local Systems		
	Traffic Control & Landing Sys**	240.3	246.7
	Air Control (TRACALS)	.1	.1
		(240.4)	(246.8)
	c. Autonomous Systems		
	Adv Navigation Dev	.3	2.2
	Navigation Sys	3.5	6.8
	A/C Navigation Sys Verif	1.6	1.7
	A/C Avionics	9.0	8.0
		(14.5)	(18.6)
	d. Mapping and Geodesy		
	Mapping & Geodesy	.2	1.2
	Total 321	(425.9)	(608.2)

Totals may not add due to rounding

** (85% Operations)

* Includes all program elements except partials and NIP

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DATE: 8 December 1980
DIRECTOR: Mr. Cittadino
ACT OFFICER: Lt Col J. Martel

PROGRAM: NAVSTAR Global Positioning System (GPS)

DESCRIPTION: The NAVSTAR GPS is a space-based radio positioning/navigation system that will provide extremely accurate three-dimensional position and velocity information together with system time to suitably equipped users anywhere on or near the earth. The GPS consists of three major segments: space, control and user, all of which are in full scale development. Position determinations are based on the measurement of the transit time of RF signals from four satellites (of known positions and synchronized time) of a total constellation of 18. Position accuracies on the order of 10 meters (throughout the world) and greater can be achieved. Four satellites are normally required for navigation, and the four offering the best geometry can be selected manually or automatically by receivers using ephemeris information transmitted by the satellites. Ranges to the four satellites are determined by scaling the signal transit time by the speed of light. Operation of the system requires precise synchronization of the satellite clocks with the "GPS system time" which is accomplished by the use of an atomic frequency standard in each satellite and use of clock correction parameters that are provided by the ground Control Segment. The requirement for users to be equipped with costly precision clocks is eliminated by the use of range measurements from four satellites. In terms of navigation accuracy, one nanosecond of time error is equivalent to approximately 0.3 meters (0.984 feet) of range error so that precision timing and frequency control are essential to the GPS system. The ability to precisely position all friendly users and the enemy forces and targets in a common grid reference system is critical to the effectiveness of our strategic, tactical and space weapon systems. In addition, for reconnaissance and intelligence missions, knowledge of exact positions at a given time is essential. The NAVSTAR GPS program directly supports and provides major increases in effectiveness of the following mission areas: air interdiction (destruction or neutralization of enemy ground and naval forces); close air support; airlift and rapid deployment forces; special operations (unconventional warfare, search and rescue, counter-insurgency); strategic attack; counter-air and aerospace defense; land warfare (close combat, fire support, ground air defense, mine warfare, combat and service support); theater and tactical C³I (surveillance, reconnaissance, target acquisition and C²); naval warfare (anti-air, anti-submarine, anti-surface, nuclear and conventional strike, amphibious warfare, mining and mine sweeping); and naval supporting warfare (special warfare, ocean surveillance, electronic warfare, logistics). All of the U. S. military services, other elements of the Department of Defense, the U. S. Department of Transportation, and our NATO

allies are participating in the development of the system which will provide unprecedented navigational accuracies for military and civil users on a worldwide basis. In addition, GPS provides precise, continuous (full-time), all-weather, common grid worldwide positioning, navigation, time reference capability, highly accurate velocity information (essential for inertial and weapon delivery systems) under both combat and non-combat conditions.

<u>FUNDING:</u>	FY 80 & Prior	81	82	83	84	85	86	THRU 86
RDT&E	599.5	170.5	221.0					
PROCURE			120.5					
O&M & MIL. PAY	_____	_____	_____					
TOTALS	599.5	170.5	341.5					

MILESTONES:

Program

- DSARC III Sep 83
- 3D Capability 4th Qtr' 87

Space Segment

- Replenishment Satellite Contract Award Oct 79
- Block II Contract Award Oct 80
- Production Contract Jan 82

Control Segment

- Development Contract Award Sep 80
- Operational Control Segment Operational Nov 87

User Segment

- FSED Contract Awards (2) Jul 79
- Start IOT&E Jan 83
- Complete IOT&E Aug 83
- First Production Contract Awards Jan 84

ISSUES: Programmatic: Need to establish firm policy on selective availability (balance civil use and national security considerations)

DECISIONS: Jan-Jun 82.

None.

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Support & Base Communications (Mission Area 322)

Narrative Description. Base Communications includes the acquisition, construction, installation site preparation, operation and maintenance of the Services' nontactical/Non-Defense Communications System (DCS) post, camp, station, airbase, facility communications terminal and switching facilities, to include Defense Metropolitan Area Telephone Systems (DMATS), equipment plants, manual and automated telecommunications center switching facilities and associated cable distribution plants to include Automatic Digital Network (AUTODIN) terminals, message reproduction, processing and distribution, base wire and radio systems including maintenance and/or lease of fixed and mobile radios, including Military Affiliate Radio System (MARS), lease and/or maintenance of outside plant television facilities (antenna/cable systems), commercial communications including locally leased circuits and equipment, toll and local telephone and message charges, and other communications services purchased from commercial communications companies and common carriers. The European Telephone System (ETS) is the fixed telephone system serving U.S. Forces in Europe.

Budget Profile.

Funding (\$M)

	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP (82-86)</u>
RDT&E	5.1	6.0	
Proc.	131.0	115.3	
O&M	1,284.5	1,400.2	
No. Personnel	43,878	42,427	

Major Programs:

- European Telephone System (ETS)
- Defense Metropolitan Area Telephone Systems (DMATS)

Major Plans:

- ETS Plan
- Base Communications Plan (BASCOP)
 - Vol. I and II, September 1977
- Base Communications System Design for the 1980's (Draft Vol. IV) and draft SCOPE DIAL Plan

- ASD(C³I) establishment of Defense Switched Network (DSN)
 - Memorandum, 6 September 1979
- Revised DSN Concept Plan (available January 1981)

Issues: The issues in this mission area are primarily those related to individual geographical areas (typically of a 50-mile radius). They deal with the relationship of individual base telephone and message centers and the degree to which they are to become integrated with, or replaced by, consolidation programs.

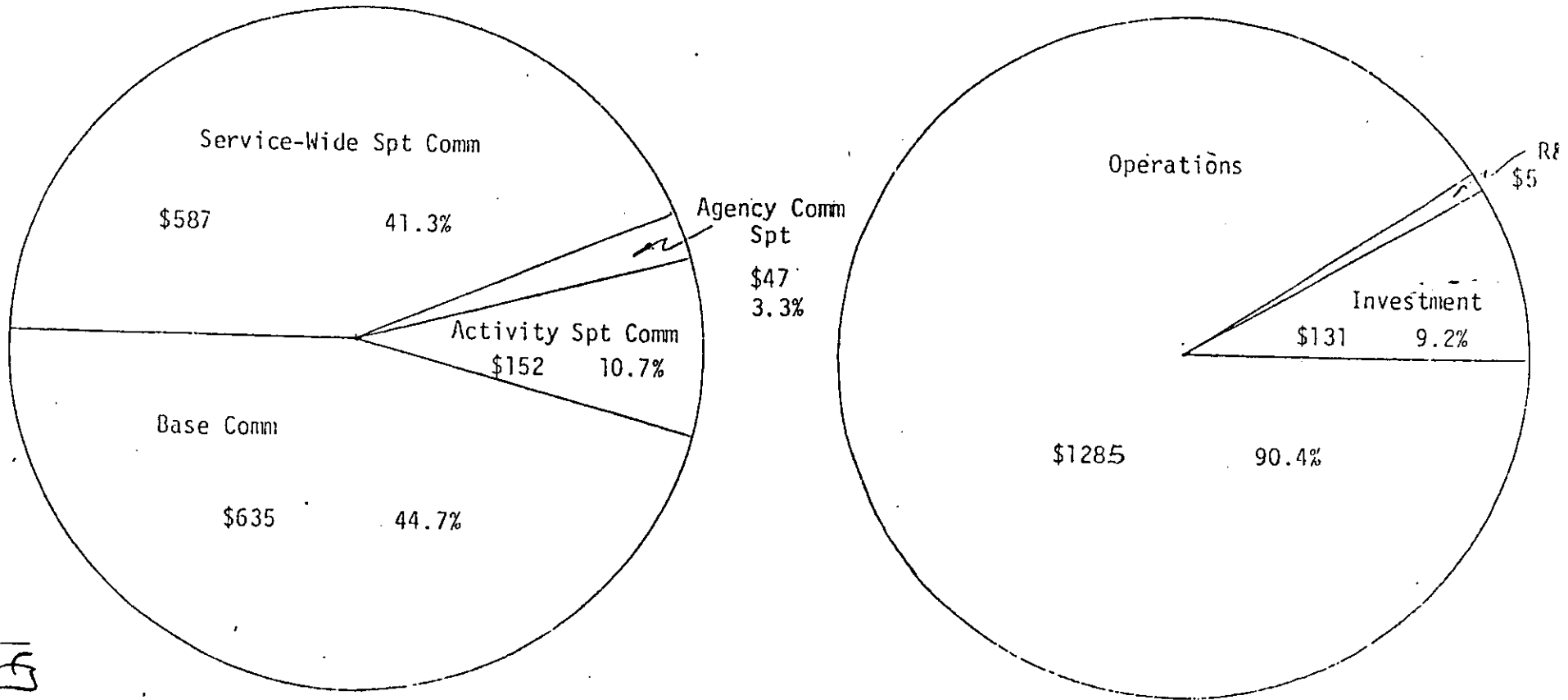
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MISSION AREA 322

SUPPORT & BASE COMMUNICATIONS

FY 81 Budget Request - \$1421M
(\$ Millions)



Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

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OASD(C³I)
C³ Resources

Funding Summary*

	(\$ Millions)	
	FY 1981	FY 1982
322 a. Base Comm		
Base Comm (SAC)	40.9	35.5
" " (ADC)	10.5	11.8
" " (TAC)	65.9	69.4
" " (Navy)	32.9	34.6
" " (MC)	15.4	16.2
Installation Audio Visual	2.5	2.3
Mgmt Hq	135.4	144.4
Base Comm (Army-CONUS)	118.3	129.0
" " (Army-EUR)	72.9	86.8
" " (Army-PAC)	13.3	14.6
" " Program 3	2.4	3.0
" " (MAC)	30.7	30.3
Acquisition/Cmd Spt	4.4	5.2
Base Comm Logistics	48.6	43.6
" " Training	30.6	33.1
" " Health Care	9.6	10.7
" " Admin	14.2	16.2
	(634.6)	(670.1)
b. Service-wide Support Comm		
STARCOM	212.4	207.9
AIRCOM	181.9	220.8
NAVCOM	175.2	185.5
	(569.5)	(614.2)
c. Activity Support Comm		
Undersea Surv Sys	1.8	1.4
Weather Serv	22.2	24.9
AFSC Engr/Install	104.8	111.0
Satellite Control Fac	13.2	16.1
Def Met Sat Prog	1.1	1.4
SAMTEC	8.6	9.3
	(151.7)	(164.0)
d. Agency Spt Comm		
Def Invest Serv	0.1	0.1
Def Map Agency	2.6	2.8
Nuc Wpns	0.6	0.6
Logistic Act	33.1	49.4
Am Forces Info Serv	11.1	9.5
Defense Contract Audit Agency	1.3	1.6
Wash Hq Serv	1.8	1.9
	(45.7)	(47.8)
Total 322	1420.6	1521.5

Totals may not add due to rounding

* Includes all program elements except partials

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Common User Communications (Mission Area 323)

Narrative Description. Common user communications encompass those global backbone and inter-area assets required to communicate between national and theater/command and control elements, and between multi-national command and control elements and multi-national tactical forces. Common user communications generally consist of fixed (non-mobile) facilities providing long distance communications in support of multi-service equipments. Economics and connectivity to widely diversified users are gained by the pooling of equipments and facilities. This in turn provides for a robust network, diverse routing, and improved survivability for "thin-line" critical users. The provisioning of a common user backbone also provides the capability to interface diverse systems and equipment via the standardized protocols, signalling and standards of the backbone. Thus, it is both highly compatible with users unique operational concepts, responsive to changes in requirements and capable of providing "on-demand" service for unforeseen requirements. It includes the global switching and transmission facilities of the Defense Communications System (DCS) as well as point-to-point circuits and closed networks. It includes government-owned facilities as well as large amounts of leased assets and contractor support. The switching facilities consist of voice, secure voice, secure record/data and unsecure intercomputer networks. Transmission assets consist of satellites, submarine cables, landlines, and microwave/tropospheric scatter radio systems.

The equipment in use is primarily late 1950/early 1960's technology and major improvements in quality and capability are required. The most significant improvements in recent years have been in the satellite capability area where large gains in global coverage and capacity have been achieved. The system has excellent data security, but very limited security for voice communications. Major improvements in survivability, secure voice, ability to operate under jamming conditions, and reducing the manpower required to operate the system are required.

Budget Profile:

Major Programs:

- AUTOVON and Defense Switched Network
- Secure Voice Improvement Program (SVIP)
- AUTODIN II
- Defense Satellite Communications System (DSCS)

Major Plans:

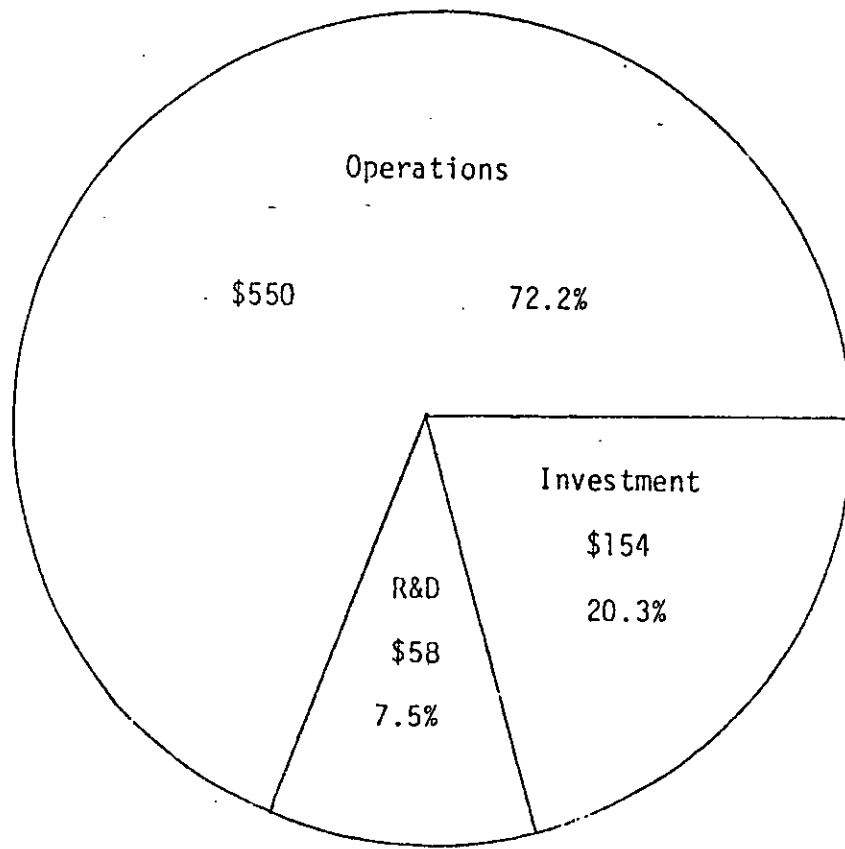
- Defense Communications System Five-Year Program (FYP) FY 1982-1986
 - . Executive Summary
 - . OASD(C³I) Promulgation/Guidance memorandum, July 31, 1980
- Defense Communications System Ten-Year Plan FY 1982-1992
 - . Executive Summary
 - . OASD(C³I) Promulgation/Guidance memorandum, October 1980
- Defense Switched Network (DSN)
 - . ASD(C³I) establishment memorandum, September 6, 1979
 - . Revised DSN Concept Plan (available January 1981)
- Integrated AUTODIN System - Parts I, II, and III Reports
 - . OASD(C³I) Memorandums on Parts I and II
- Telecommunications Council Charter
- PDM Issue Book
- C³ section of the Seventh Annual Report to Congress on Rationalization/Standardization within NATO
- C³ section of the January 1981 Report to Congress on the Readiness Status of NATO's Military Forces
- Revised DoD Directive 2010.7 on U.S. Policy on Rationalization of NATO/NATO Member Communications Facilities
- NICS Stage II Transition Strategy (AC/270-D/220)
- Semi-Annual NJCEC Decision Sheets
- C³ LTDP Program Monitors Annual Report to the DPC Ministers
- Defense Satellite Communications System Program/Plan FY 1982-1986
 - . Executive Summary
 - . ASD(C³I) Approval/Guidance Memorandum, June 12, 1980

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MISSION AREA 323

COMMON USER COMMUNICATION

FY 81 Budget Request - \$761M
(\$ Millions)



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Source: Sep 80 FYDP
Does not include NIP nor partial program elements

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OASD(C31)
C3 Resources

Common User Comm Mission Area 323

Funding Summary*

	(\$ Millions)	
	<u>FY 1981</u>	<u>FY 1982</u>
323 Defense Satellite Comm Sys	140.3	224.9
Defense Comm Serv (Indust Fd)**	474.1	488.2
Def Comm Ser (Revenues)	-472.9	-487.0
Long Haul Comm - Army	219.2	219.3
" " " - Air Force	231.9	249.3
" " " - DCA	89.2	112.0
" " " - Navy	79.5	101.6
Total 323	761.3	908.4

Totals may not add due to rounding

* Includes all program elements except partials

** Communications Services Industrial Fund (CSIF). The CSIF is a revolving fund which provides leased communication service worldwide to DoD and non-DoD customer activities on a reimbursable basis. The CSIF is managed by the DCA with the day-to-day operation being accomplished by the Defense Commercial Communication Office (DECCO), a field activity of the DCA, located at Scott AFB, Ill. DECCO also has field offices in Europe, Hawaii and Alaska. The total FY 81 estimated commercial sales through the CSIF is \$475 million.

Date: December 6, 1980
Director: Mr. Salton
Action Officer: Mr. A. Facey

Program: AUTOVON and Defense Switched Network (DSN)

Description: AUTOVON is the principal long-haul unsecure voice communications network of the Defense Communications System (DCS). It handles end-to-end switched communications for the Department of Defense and certain other government agencies. The network consists of three major components: switching centers, transmission facilities, and terminal equipment. It has a total of 69 operational switching centers connected by 8,800 circuits. Forty-five switching centers are located within the Continental United States (CONUS), eight in Canada, one in the Panama Canal, and fifteen in overseas locations. AUTOVON includes interswitch trunks and subscriber access lines over a variety of means, including microwave, High Frequency (HF) radios, tropospheric scatter, cable, and satellites. These facilities are predominantly leased in the Continental United States with a mixture of leased and government-owned facilities overseas and between the CONUS and overseas nodes.

AUTOVON provides a precedence calling system which ensures that National Command Authorities and other commanders can place calls during crisis situations. This is accomplished by preempting or temporarily denying service to lower priority users. As such it provides common user access to our forces for the day-to-day exchange of information among all echelons of command with an inherent capability for force control and feedback during crisis or conflict levels.

AUTOVON interfaces with the National Communications System (NCS), allied communications networks including electrical connection to the NATO Initial Voice Switched Network (IVSN) and special networks. AUTOVON trunks provide the backbone for the current narrowband AUTOSEVOCOM I network. The planned Secure Voice Improvement Program (SVIP) will use both AUTOVON and other networks for secure voice service.

Recent studies concerning AUTOVON and Base telephone switching systems have highlighted the advantages of employing digital switching/transmission equipments and placing AUTOVON switching functions at or close to the users on military bases. Additionally, the advent of on-base or regional commercial satellite terminals for handling portions of the DoD's long distance AUTOVON, commercial and Federal Telecommunications Service (FTS) traffic offers the advantages for increased economies. Therefore, the DoD is defining and establishing a Defense Switched Network which would take advantage of the less costly and more efficient digital systems and permit a more judicious and balanced use of long distance voice communications. This could eliminate the need for a separate dedicated AUTOVON switched system as we know it today. We are refining and enlarging on the concept studies previously done and will be developing well-defined concept and implementation plans for the CONUS initially and subsequently overseas. These plans will be supported by appropriate transition strategies so that our acquisition and leasing actions for all forms of long distance voice communications as well as our base telephone systems are in harmony.

RDT&E	0.9	1.8
Proc*	2.9	4.8
O&M*	136.8	145.0

*AUTOVON only data as DSN implementation data has not been developed.

Milestones

DSN Concept Plan Approved	Spring 81
Upgrade Fairview AUTOVON Switch	CY 81 -
Activate Two Alaskan AUTOVON Switches	CY 82

Date: December 6, 1980
Director: Mr. Salton
Action Officer: Mr. A. Facey

Program: Secure Voice Improvement Program (SVIP)

Description: The Secure Voice Improvement Program (SVIP) is to provide a global secure voice capability for the non-tactical elements of our force structure. The capability which exists at the present time is severely limited in quantity, quality, global coverage, and requires cumbersome and complex procedures to place and complete a call. The principal aim is to be able to provide a dial-it-yourself secure voice capability over existing government-owned and leased telephone and transmission systems and be interoperable with Federal (non-DoD) and tactical secure voice systems. Growth to 10,000+ users by the mid-1990s is projected.

The technical design complexities in developing secure voice telephones and the complex interfaces associated with making them interoperable with a range of telephone systems and tactical secure voice networks have severely limited the rate of progress in proceeding towards a new system. The design complexities have not only slipped the projected availability dates by 2-3 years but are resulting in high unit cost projections of \$30K plus which have necessitated a re-look at the system approach previously selected. If unit prices remain high, it is probable that the quantities procured will remain low despite the security threat that prevails. Therefore a major reappraisal of our actions and options has been initiated which will:

<u>FUNDING*</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP</u>	<u>Total</u>
RDT&E	14.2M	14.2		
Proc	3.0	3.0		

*Will require increases as new approach is defined.

MILESTONES

Congressional Approval
Terminal Feasibility Analysis Completed
Full Scale Development Start
Low Rate Initial Prod Deliveries

Fall 1979
Spring 1981
Summer 1981
1985

ISSUES

|

DECISIONS

Each of the above issues will require decisions by OSD and guidance to the MILDEPS during the first half of CY 81.

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Date: December 6, 1980
 Director: Mr. Salton
 Action Officer: Mr. A. Hartigan

Program: Defense Satellite Communications System (DSCS)

Description: The Defense Satellite Communications System provides Super High Frequency satellite communications for secure voice and high data rate transmissions in support of unique and vital national security requirements for worldwide military command and control, crisis management, intelligence and early warning detection data relay, treaty monitoring and surveillance information, Presidential support missions, and diplomatic traffic. The Defense Communications Agency (DCA) is responsible for overall DSCS program management, systems engineering, operations, and satellite communications architecture. The DSCS program consists of a space segment, which is an Air Force responsibility; a multi-user terminal segment of ground, airborne, and naval elements; and an operational control segment. The authorized space segment is comprised of four operational and two in-orbit spare DSCS satellites positioned in synchronous equatorial orbit over four geographical areas to provide global (less polar) coverage to 72° latitude. Existing DSCS II satellites will be replenished with DSCS III satellites which will provide increased channelization, flexibility, and electronic counter-countermeasure capability. DSCS III will include a UHF and, in the future, SHF capability for Emergency Action Message Dissemination.

The ground segment in support of DSCS requirements is large fixed-type terminals equipped with antennas from 60 feet in diameter down to 18 feet in diameter. In addition, the Advanced Airborne Command Post and Navy ships will utilize the DSCS for strategic requirements. There are also a number of small, highly transportable ground terminals available to support JCS contingency operations. All terminals will be equipped in the future with AJ communications equipment to provide communications connectivity in a jammed environment.

<u>Funding (\$M) (Estimated)</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FYDP FY 82-86</u>
<u>RDT&E</u>			
Army	15.3	21.0	
Navy	2.1	--	
Air Force	21.3	35.2	
DCA		2.6	
<u>Procurement</u>			
Army	120.0	106.7	
Navy	5.2	6.0	
Air Force	96.0	133.3	
<u>O&M & Mil Pay</u>			
Army	19.7	20.8	
Navy	4.4	7.2	
Air Force	12.2	23.8	

Milestones

- Jan 1981 - the first AN/GSC-39 satellite ground terminal to become operational at Thurso, Scotland
- Feb/March 1981 - the first of the new anti-jam modems will become operational linking Europe and CONUS with protected communications
- May/June 1981 - launch of the first demonstration Flight Satellite of the DSCS III program along with DSCS II satellite number 15 on a TITAN IIIC launch vehicle
- Mid to late 1981 - DSARC III for DSCS III satellites
- Mid to late 1981 - production go-ahead for DSCS III operational satellites

Issues:

Communications Security (Mission Area (324)

Narrative Description. Protective measures taken to deny unauthorized persons information derived from telecommunications of the U.S. Government related to national security and to ensure the authenticity of such communications. Although considered a separate Mission Area, a wide variety of COMSEC equipments and programs support parent C³ programs in all other major Mission Areas. All COMSEC resources for all Services and Defense Agencies are separately identified in the COMSEC Resources Program, P.E. 33401.

- Security Standards and Assessments: Development of Signals Security vulnerability and threat assessment capabilities.
- COMSEC Technology: Development of concepts, techniques and technology for integrating Service needs with COMSEC hardware and software.
- Secure Voice: Attain total security for all voice radio communications by the late 1980's - mid 1990's.

Single Channel Radio

- KY-8/28/38 - NESTOR - Wideband Secure Voice - Tactical Crypto
- KY-57/58 - VINSON - Wideband Secure Voice - Tactical Crypto
- KY-67 - BANCROFT - Wideband Secure Voice - Tactical radio and crypto in a single unit.
- KYV-2 - Crypto for AN/PRC-68 VHF-FM squad radio

- KYV-4/K6V-10 - Crypto and ECCM units for SINCGARS-V
- KY-65/75 - PARKHILL - Narrowband HF - Tactical Crypto (analog)
- KYV-5 - ANDVT - Narrowband HF - Tactical Crypto (digital)

Joint Tactical Communications

- TRI-TAC crypto family

Defense Communications System

- KY-71, KY-72 - Secure Telephone Units - Digital systems for Secure Voice Improvement Program (SVIP), Federal Secure Telephone System and strategic applications
- Secure Voice and Graphic Conferencing crypto

- COMSEC Technical Support: Provides operator and maintenance training and support to improve life cycle reliability and availability. Includes test and ancillary equipment
- Material Development/Production/Distribution and Control: Produce, store, issue and account for keying material, codes and other COMSEC support materials.
- Operation and Management Support: Identifies all manpower and supporting resources fully dedicated to COMSEC activities.

Major Plans:

- National COMSEC Plan for Space Systems and Nuclear Weapons Systems
- National COMSEC Plan for Tactical Voice Communications
- National COMSEC Plan for Fixed Plant and Strategic Voice Communications
- Air Force COMSEC Objectives Plan
- Navy Secure Voice Plan
- Army Priorities for Application of COMSEC Equipment Resources
- National COMSEC Policy Directives
- DoD COMSEC and ECCM Directives
- National COMSEC Committee Annual Report
- DoD COMSEC Congressional Budget Justification Books

Major Actions Required/Forthcoming. The ASD(C3I) represents the Secretary of Defense as the Chairman, National Communications Security Committee, an interdepartmental/agency committee responsible for communications security activities that protect government-derived classified information and government-derived unclassified information relating to the national security.

MATERIAL,
DEVELOPMENT,
PRODUCTION,
DISTRIBUTION
AND CONTROL

FY 82 COMSEC RESOURCES PROGRAM
(\$ MILLIONS)

TAB A

162

~~SECRET~~

MISSION AREA 324
COMMUNICATION SECURITY

163

Source: Sep 80 FYDP
Does not include NI-IP nor partial program elements.

~~SECRET~~

OASD(C3I)
C3 Resor

NATO ACTIVITIES IN C³I

The Office of the Assistant Secretary of Defense (C³I) is actively engaged in contributing to the improvement and strengthening of NATO. These contributions take varying forms from small unilateral technical contributions to large multi-national or even total NATO cooperative efforts. The following constitute a partial listing of current activities/initiatives that C³I is currently pursuing:

1. Participation in NATO C³ Organizations
2. NATO Air Defense/ACCS Team
3. MIDS
4. IFF/NIS
5. LTDP
6. NICS
7. NATO III Satellite
8. NATO IV Satellite
9. Combat Net Radio
10. Single Channel Radio Access
11. ELCROVOX

Highlights of these programs are contained in the material that follows.

1. Participation in NATO C³ Organizations.

C³I currently represents the U. S. in the following high level C³ NATO bodies:

- o NATO Air Defense Committee (NADC) and the Panel on Airspace Management and Control (PAMCS).
- o NATO Joint Communications and Electronics Committee (NJCEC).
- o NATO Command and Control and Data Processing Committee (NCCDPC).
- o Tri-Service Group on Communications and Electronics (TSGCEE) and Subordinate Bodies.
- o C³ Senior National Representatives (C³SNRs).
- o SHAPE Technical Centre Scientific Committee of National Representatives (STC SCNRs).

In all of the above organizations, the C³I role is to develop and present coordinated U. S. positions to NATO and to provide leadership in order to rapidly progress NATO and U. S. objectives in the C³ field.

2. NATO Air Defense/ACCS Team.

One of the largest technical programs ever undertaken by NATO has recently been approved by the NATO Defense Ministers. This program, which will improve the total NATO air operations will cost \$44 Billion over the next 15 years. The C³ portion will cost over \$4 Billion and encompasses most of the major C³ efforts in Allied Command Europe.

In order to design, develop and implement the C³ components, the U. S. recommended a systems engineering team be formed (the ACCS Team), and the nations have agreed. The Team of 30 members will be soon formed and will be in full operation by the summer of 1981. C³I is actively pursuing the formation of the Team and expects to participate fully with key managers and staff members.

At present there is considerable disagreement among the nations on where the ACCS team will be located as well as selection of personnel to fill key leadership positions on the team. The two locations being considered are Brussels, Belgium and The Hague, Netherlands. The U.S. has maintained a strong position that the team should be located at the SHAPE Technical Center (STC) at the Hague because this would be the least costly approach and would collocate the team with the STC team which will provide it technical support.

Although the US has withdrawn our candidate from consideration as the team leader or deputy, there are still multiple candidates for each position with no clear-cut choice for U.S. support at this time.

MIDS is conceived as NATO's integrated communications-navigation-identification (CNI) program; it has been approved as part of the Air Defense Planning Group's program, under the LTDP. MIDS program work falls under the (TSGCEE), and is monitored by a nine-nation Project Group on MIDS. The current program is a year-long study of MIDS architectural and systems applications, both to support work on a draft Stanag and MOR, and to provide options for detailed architectural and technical standards and characteristics. This work was performed by a full-time, six-nation MIDS Team, located at The Hague. Candidate MIDS systems are JTIDS, SINTAC and MACS. The U. S. goal is now to pursue the MIDS development and implementation as part of the NATO Air Defense Program and in other applications.

4. NATO IFF

The U. S. role in NATO IFF activities relates to the use and installation of the current Mark XII system and the definition of the NIS (future NATO Identification System). The U. S. objective is to achieve secure IFF interoperability through installation of Mark XII compatible equipment by all NATO Allies. As a follow-on, the NATO Identification System (NIS) will be a significant improvement to the Mark XII and extend an IFF capability to the forward combat zone in a ground-to-ground and air-to ground modes. The NIS development will be guided by an agreed upon signals-in-space STANAG that is currently in draft form. This agreement will permit the formulation of national MOU's and phase-in-dates that are commensurate with priorities. The U. S. will retain lead responsibility for the associated cryptographic components or modules which appear to be the subject of a new development.

However, to date there has been considerable disagreement among the four principal nations (US, UK, FRG and France) participating in the STANAG formulation. A US analysis has shown that a STANAG compliant design will require advanced technology to build and will be costly to acquire and install into existing weapon systems. Thus, the US (with support from France) has insisted that the STANAG include a discussion of alternatives which will be examined and that initial confirmation of the STANAG be with the understanding that the nations will proceed with the development of a STANAG compliant design. (We want everyone to understand that we are not committing to procurement until we complete our US development and get a DSARC decision). We have informed the other nations that we must examine other alternatives (including L-Band, the frequency band of the existing IFF system) to assure ourselves that we have chosen the most cost effective approach. The UK and FRG have raised objections to the US approach stating that "other alternatives were discarded years ago" but offering no technical documentation to substantiate the basis for discarding. They further feel that the US approach will delay the fielding of a new system. They feel that all efforts should be devoted solely to developing a STANAG compliant design. They object to a STANAG which includes discussion of alternatives, which the US has insisted upon. We have raised this issue to high levels within the MODs and have recently seen some signs of a movement toward the US position. There will be meetings in December 1980 and January 1981 which hopefully will break the stalemate.

5. C³ Long-Term Defense Program (LTDP).

Although a number of communications, command and control (C³) programs were underway in NATO, approval of the NATO Long Term Defense Program by Defense Ministers and subsequently by NATO Heads of State and Government in the Spring of 1978 placed these and new programs into a cohesive coordinated whole. It gave NATO and national C³ efforts an increased sense of purpose and urgency. Of the ten LTDP program areas, C³ is an essential element in four: maritime posture, air defense, electronic warfare and, of course, the program specifically devoted to C³. Major C³ LTDP measures are development and approval of operational, procedural and technical interoperability standards for communications and ADP systems; NATO Integrated Communications System Stage II, Maritime Communications Program; Tactical Trunk Network; Single Channel Radio Access, NATO/National Area Interconnection Program; Strategic ADP System; War Headquarters Improvement Program; Tactical ADP Program; and Warning Improvement Program. These programs will be implemented between now and the end of this century. Over that period, incremental improvements to NATO's C³ capabilities will take place.

6. NATO Integrated Communications System (NICS). The NATO Integrated Communications System, conceived in 1970, will be an effective operating NATO command, control and communications system by the early 1980s. This system is designed to meet the political and command and control communications requirements of NATO civil and military authorities. The completed network will be a survivable, common-user, switched voice/teletype/data system which will absorb or replace most of the current NATO-funded communications systems. The NICS will connect the NATO headquarters in Brussels, NATO commanders headquarters down to the Principal Subordinate Commands and the NATO national capitals for essential command and control, political consultation, intelligence exchange and messages concerning nuclear weapons employment.

The mature NICS Stage II will be redundant for survivability, will have facilities in all NATO nations, and will be centrally managed and controlled by NATO international personnel. The first stage will be completed about 1983 at a cost of more than one-half billion dollars. The entire system, including Stage II, is scheduled for completion in the mid-1990s. The additional full system cost will approach one and one-half billion dollars (in 1977 dollars).

As major elements of Stage I, the NATO Integrated Communications System Management Agency (NIC SMA) contracted for the Telegraph Automatic Relay Equipment (TARE) message switches, the access switches of the Initial Voice Switch Network (IVSN), and the NATO Phase III Satellite Communications System. These systems will be installed and operational by the end of 1983. NIC SMA, with national and SHAPE Technical Center (STC) help, completed the NICS Stage II Architecture. At their fall 1980 meeting, the NJCEC agreed on the concept and a transition plan for NICS Stage II. The lack of sufficient funds in the current series of infrastructure slices to complete Stage I and to proceed with Stage II is being brought to the attention of DPC ministers.

8. NATO IV SATCOM

9. Combat Net Radio (CNR)

~~CONFIDENTIAL~~

~~CONFIDENTIAL~~

10. SCRA/MSE

|

11. NATO Narrowband Secure Voice Equipment (NBSVE)

|

~~CONFIDENTIAL~~

SUBJECT:

Presidential Directive/NSC-53, National Security Telecommunications Policy (U)

BACKGROUND:

(TS)

(U) The Office of the Manager, National Communications System, in their 1978 Annual Report to the Executive Office of the President addressed this problem in detail. Also addressed was the lack of a national security telecommunications policy and the fact that this situation would not improve if the telecommunication industry infrastructure continued the trends that were being established.

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(U) President Carter, in his memorandum of November 15, 1979, entitled "National Security Telecommunications Policy (PD/NSG-53)" stated the telecommunications objectives for satisfaction of priority national security needs and set forth principles for national communications assets to meet those objectives. The primary emphasis of those principles is to increase the utility, connectivity, restorability and survivability of common carrier and industry private line networks. The National Communications System (NCS) was given the responsibility to implement these principles (the Secretary of Defense is the Executive Agent for the National Communications System). To meet these responsibilities the NCS Staff works closely with FEMA, other government agencies and the communications industry.

STATUS:

(U) On September 24, 1980, the NSC Staff convened a meeting of the NSC/PD-53 Oversight Committee to review PD-53 implementation status. The NCS was tasked to report progress in two areas, i.e., Common Carrier and FCC initiatives, as well as brief the PD-53 implementation background. All other PD-53 addressees were requested to report on their individual PD-53 Agency initiatives. As a result of the discussion that took place during the 24 September meeting, General Odom tasked the Executive Agent, NCS, to assess the vulnerability of commercial carrier system and the impact of this vulnerability on national security C and to develop a listing of possible guidance to be issued to commercial common carriers and Government agencies to reduce this vulnerability. A briefing report on findings was provided to the PD-53 Oversight Committee on December 4, 1980.

ISSUES

(U) There were four categories of technical conclusions presented during the briefing which led to the overall issue of common carrier vulnerabilities and deficiencies and how to best take action to reduce these deficiencies through government initiatives. These issues are: Legal and regulatory constraints; carrier's interconnection policies; technology and standards influence on interconnection proposals; and economic and financial factors bearing on implementation strategy. The NCS approach to resolving these issues was to separate initiatives to reduce these deficiencies into near term and mid term technical initiatives and policy initiatives. The near term technical initiatives and policy initiatives require financial resources, but no policy or regulatory change. The mid term and policy initiatives do involve regulatory, legislative and policy changes as well as significant dollar resources. A secondary issue, to ascertain whether or not the near term initiatives have any policy impact, was tasked by the NSC for completion by the PD-53 addressees by COB December 11, 1980. It is anticipated that an NSC implementor to take action on the near term initiatives signed by Dr. Brzezinski will be forthcoming.

RECOMMENDATION:

(U) The recommendations contained in December 4, 1980, briefing were:

- o Establish NSC-chaired PD-53 Oversight Committee.
- o Approve prioritized initiatives and issue taskings.
- o NCS expedite development of strategic plan.
- o EOP pursue policy initiatives.
- o President appoint an FCC Commissioner with national security background.

More specifically, Executive Agent, NCS, should be prepared to continue to pursue implementation of PD-53 by providing necessary resource support to the Office of the Manager in the near term. The Executive Agent should also be prepared to support the NSC in their mid term and policy initiative areas.

Date: December 8, 1980
Director: Dr. Turner
Action Officer: Mr. R. Thomas

(U) SUBJECT: Presidential Directive NSC-58 Continuity of Government/
C3I dated June 30, 1980

(U) BACKGROUND:

(TS)

(U) CURRENT STATUS:

~~(S)~~

(U) An initial program plan has been briefed to the interagency steering group which, as a result, approved the approach being taken and the Terms of Reference for the JPO. The plan provides for a five-phase program as follows:

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(U) (c) FY 83 Prototype test and evaluation - Through live operational tests and exercises evaluate capability to support the mission, refine procedures and revise operational concept. Based on identified deficiencies, revise specifications and initiate preparation of user documentatation.

~~(TS)~~

(U) (a) Definition of requirements and documentation of the initial operational concept which will be performed in-house with ad-hoc assistance from the participating agencies.

(S)

~~TOP SECRET~~

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~~TOP SECRET~~

(U) ISSUES:

(U) Appointment of a Director, JPO. Early action is required to identify and employ a senior respected individual as the Director. Continued civil agency participation and completion of necessary inter-agency agreements are dependent on this appointment.

1) RECOMMENDATION:

(U) Continued support by DoD for the program defined in PD 58 to include early appointment of a Director.

~~TOP SECRET~~

ELECTROMAGNETIC COMPATIBILITY (EMC)/FREQUENCY MANAGEMENT, MISSION AREA 325

DESCRIPTION: The basic objective of the DoD EMC program is to ensure that telecommunications equipment when operating with other systems in a common electromagnetic environment do so without causing or being caused unacceptable degradation due to unintentional interference (unintentional jamming). This effort is outlined in DoD Directive 3222.3. Frequency management is a basic tool for achieving EMC. It includes both the allocation of the electromagnetic spectrum (national and internationally) into segments for compatible, like systems and the discreet assignment and regulation of frequencies for specific equipments and operations. This is covered by DoD Directive 4650.1. The Electromagnetic Compatibility and Analysis Center (ECAC) is a DoD agency which supports the Services and Agencies in this effort. They have responsibility for developing a communications-electronics systems data base and the analysis tools necessary to determine if systems will operate in their intended electromagnetic environment. The key issues at the current time relate to the implementation of the World Administration Radio Conference (WARC)-79 decisions, the 1984 Space Conference, and a proposal to relocate ECAC.

STATUS: The final acts of WARC-79 have been submitted to the Senate for ratification. No specific date has been set for hearing. A series of proposed domestic rules which would implement the acts nationally are in the process of being issued by the FCC. These rules would become effective upon ratification of the treaty by the Senate. In NATO the Final Acts of WARC-79 will be implemented by a Council document. This document will be considered by a joint civil/military group-the NATO Allied Radio and Frequency Agency (ARFA) during the week of January 23, 1981. Regarding the proposed ECAC relocation, the USAF is scheduled to complete the legislatively required environmental and operational impact studies by mid-December. After internal review the studies will be submitted for public review prior to a SECDEF decision.

CURRENT ISSUES: WARC-79 Implementation - The domestic and international implementation of WARC-79 has raised several issues however, the most important current issue relates to the use of the bands 3.4 to 3.7 GHz and 4.5- 4.8 GHz for international satellite communications. These bands are desired by INTELSAT for expansion of their network to meet future traffic requirements. However, the lower band is used by DoD for airborne radar such as AWACS and the upper band is used in Europe for vital troposcatter communications links. This is an issue both here and in NATO.

ECAC Relocation- The USAF has proposed to move ECAC from its current location at Annapolis, MD to Duluth, Minn., in order to alleviate economic burdens at Duluth caused by the closing

DATE 6 December 1980

DEPUTY David L. Solomon

ACT.OFFICER William Cook

of other USAF operations and to improve the utilization of Government owned facilities. This has created concern for the economic situation at Annapolis as well as the possible impact on DoD and national frequency management operations. The USAF studies will consider all these aspects.

RECOMMENDATIONS: No specific action is required at this time.

(\$ MILLION)

	<u>FY 1981</u>	<u>FY 1982</u>
325 a. Spectrum Mgmt		
Electromag Comp Anal Ctr	10.1	11.3
Electromag Spectrum Mgmt	7.3	7.9
	(17.4)	(19.2)
Total 325	17.4	19.2

Totals may not add due to rounding

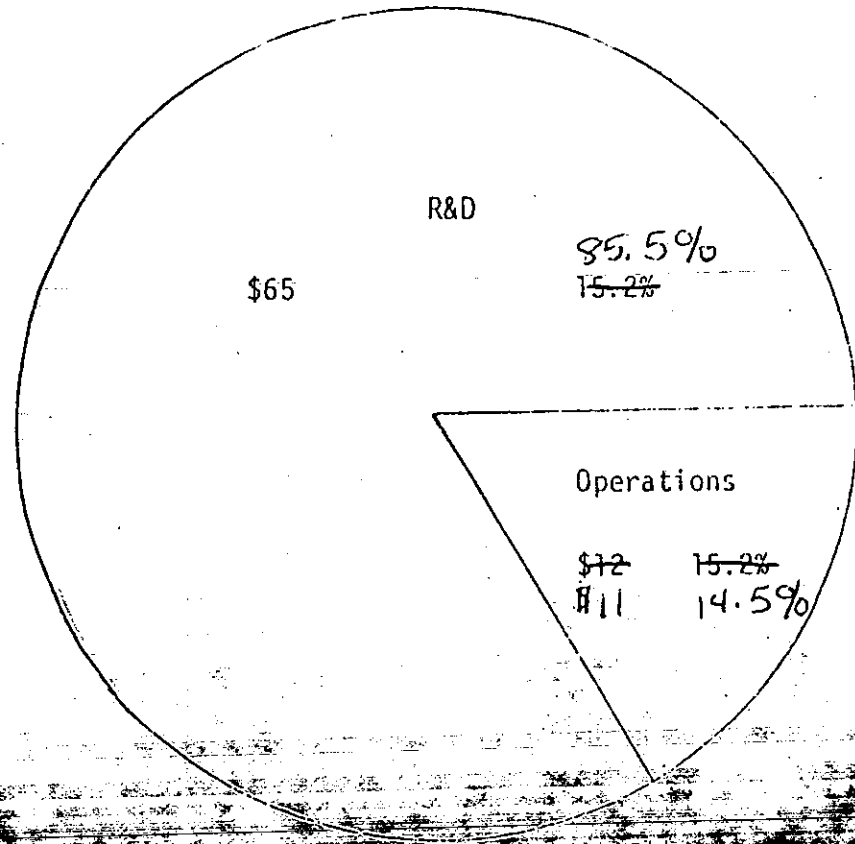
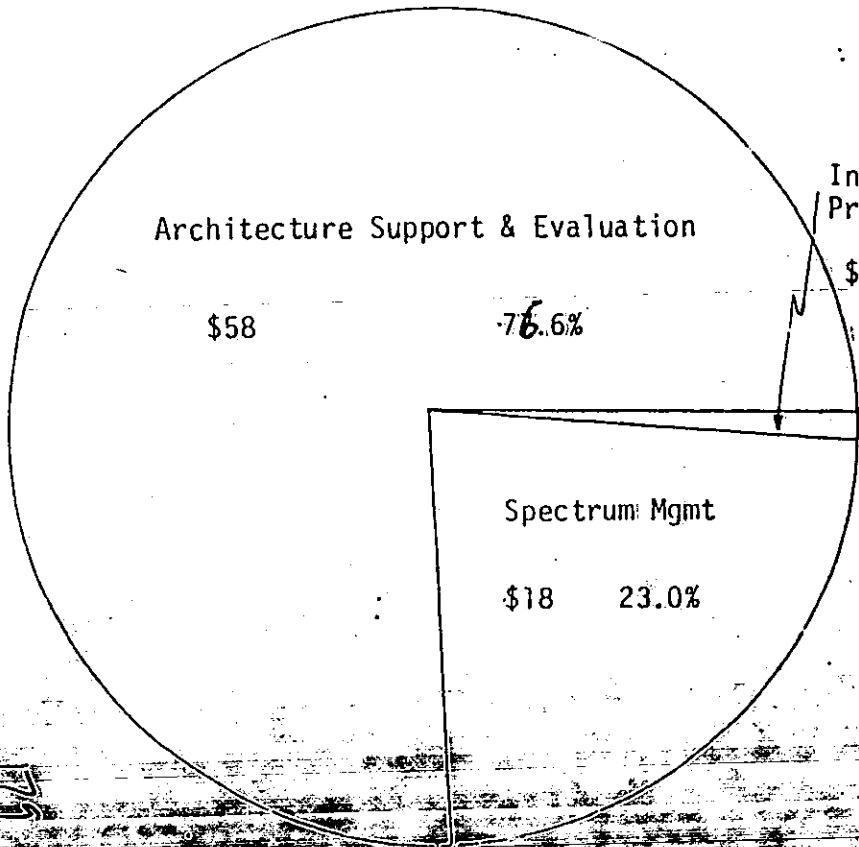
* Includes all program elements except partials

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C³I SUPPORT PROGRAMS MISSION AREA 325

Funding Summary*

FY 81 Budget Request - \$76M
(\$ Millions)



SUBJECT: International Telecommunications Policy

BACKGROUND: Last year the Department of State established an interagency group for the coordination and discussion of international telecommunications policy. The group is currently chaired by Deputy Under-Secretary of State Nimitz with DoD being represented by ASD(C³I). The NSC, NTIA, ICA and FCC are also represented. At the present time the principal thrusts of the group include legislative initiatives relative to international communications, transborder data flow/free flow of information, The World Administrative Radio Conference (WARC-79) and Regional Satellite Communications.

STATUS: The interagency group has had three meetings during the past year and plans to have another regular quarterly meeting in March. Two task groups have also been established; one to consider legislation and the other to develop a proposal policy for regional satellite systems. The first group is developing a legislative primer which is targeted for February 15, 1980. No specific date has been established for the second but the Department of State is preparing a DoS input to the FCC on certain specific cases which have been pending before the F.C.C.

CURRENT ISSUES: 1. Legislative Proposals for Amendment of the 1934 Communications Act. Specific issues are in the process of being developed by the task group on legislative proposals.

2. Transborder Data Flow/Free Flow of Information. The Department of State and other agencies have proposed that US policies which have been enunciated in several international forums on this matter be incorporated into legislation. Because of our international intelligence, administrative (e.g. credit unions, personnel, postal) and broadcasting (e.g. AFRTS) interests the DoD is greatly concerned with the transformation of these positions into a legislative format.

3. World Administrative Radio Conference (WARC-79). The final acts of WARC-79 have been submitted to the Senate for ratification. Departmental and agency testimony as well as US policy toward implementation of the Acts will be considered by this group during the next year.

4. Regional Satellite Communications. Currently the 1962 Communications Satellite Act gives COMSAT/INTELSAT a virtual monopoly over US international, commercial satellite communications. Several proposals before the FCC would tend to erode this monopoly by licensing other carriers for "regional" traffic. This would have the possible benefits of increasing competition, reducing tariffs paid by DoD, and possibly helping to meet the objectives of PD-37 and other directives. However, it tends to be in conflict with the INTELSAT accord and possibly our policy toward the third world.

RECOMMENDATION: Continued active participation by the DoD in this group is recommended to ensure the adequate national security considerations in the development of international communication policy and legislation.

Funding (4) (Funding profiles currently under development)

Milestones (5)

ISSUES (c) |

~~SECRET~~

ASSISTANT TO THE SECRETARY OF DEFENSE (ATOMIC ENERGY)

The attached documents represent all of the issue papers prepared by the ATSD(AE) for the CarterReagan Transition Team. One document has minor deletions as the information is considered properly and currently classified within the meaning of Executive Order 12065. The unauthorized public release of this information would provide a foreign nation an insight into the war potential and defense plans of the United States and is withheld under the provisions of 5 USC 552(b)(1).

The Initial Denial Authority (IDA) for the deleted information is Major General David W. Einsel, USAF, Deputy ATSD(AE) (Military Applications).

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1 Einsel
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OFFICE OF THE SECRETARY OF DEFENSE

WASHINGTON, D.C. 20301

21 November 1980

MEMORANDUM FOR THE SPECIAL ASSISTANT TO THE SECRETARY OF DEFENSE
SUBJECT: Briefing Materials for Incoming Officials

In response to your memorandum of 11 November 1980, the attached briefing materials are furnished. Included at TAB I is program and budget information. At TAB J is a summary of near-term key issues which has been furnished to Dr. Perry.

JAMES P. WADE, JR.
Assistant to the Secretary
of Defense (Atomic Energy)

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RESPONSIBILITIES AND FUNCTIONS
OF THE
ASSISTANT TO THE SECRETARY OF DEFENSE (ATOMIC ENERGY)
AND THE
CHAIRMAN, MILITARY LIAISON COMMITTEE

TAB A	SecDef Memoranda of Authority
TAB B	ATSD(AE) Charter
TAB C	Military Liaison Committee Charter
TAB D	Office Organization
TAB E	Office Location and Special Facilities
TAB F	ATSD(AE) Legislative Responsibilities
TAB G	Policy, Planning and Programming Cycle, and the Annual Report to Congress
TAB H	Military Liaison Committee
TAB I	Program and Budget Information, OATSD(AE)
TAB J	Summary of Near-Term Key Issues

RESPONSIBILITIES AND FUNCTIONS OF THE
ASSISTANT TO THE SECRETARY OF DEFENSE (ATOMIC ENERGY)
AND THE
CHAIRMAN, MILITARY LIAISON COMMITTEE
TO THE
DEPARTMENT OF ENERGY

Background:

In August 1978, Honorable James P. Wade, Jr., was appointed by the Secretary of Defense as the Assistant to the Secretary of Defense (Atomic Energy) (ATSD(AE)), and by the President of the United States as Chairman of the Military Liaison Committee (MLC). Prior to this appointment, Dr. Wade was responsible to the Under Secretary of Defense for Research and Engineering, for the management of Long Range Resource Planning, Technology Assessment, Defense Science Board, and the SALT/Arms Control Support Group activities. These responsibilities were retained by Dr. Wade when he assumed the position of ATSD(AE).

The structure of the office and key personnel are:

Honorable James P. Wade, Jr.

Assistant to the Secretary of Defense (Atomic Energy), and Chairman, Military Liaison Committee to the Department of Energy.

David W. Einsel, Jr.
Major General, US Army

Deputy Assistant to the Secretary of Defense (Atomic Energy) (Military Applications), and Executive Secretary, Military Liaison Committee

Dr. Paul J. Berenson

Deputy Assistant to the Secretary of Defense (Atomic Energy) (Assessment), and Executive Officer, Defense Science Board

Mr. Louis G. Michael

Deputy Assistant to the Secretary of Defense (Atomic Energy) (Long Range Resource Planning)

Mr. Gunning Butler, Jr.

Acting Director, Strategic Arms Limitations Talks/Arms Control Support Group

Directives establishing the functions and authorities of the ATSD(AE) and the Military Liaison Committee are at Tabs A, B, and C.

Functions:

The Assistant to the Secretary of Defense (Atomic Energy):

- Serves as the principal staff assistant to the Secretary of Defense for Department of Defense (DoD) atomic energy matters. (Tab A)
- Serves under the direction, control, and authority of the Under Secretary of Defense for Research and Engineering.
- Has the delegated authority to issue DoD Instructions and one-time directive-type memoranda to the Military Departments through the Secretaries of those Departments and to Unified and Specified Commands through the Joint Chiefs of Staff.
- Is responsible through the Under Secretary of Defense for Research and Engineering for:
 - Staff supervision for research and engineering matters of the Defense Nuclear Agency, through the DNA Coordinating Committee (See Tab A1).
 - Technology Assessments and management of the executive secretariat of the Defense Science Board.
 - Overall DoD long-range resource planning.
 - Technical analyses and support to Arms Control negotiations and initiatives, with focus on SALT.
 - Inputs, review and drafting of policy, planning and programming documents on the military applications of nuclear weapons or nuclear energy.
 - Chairs interim ad hoc committee of OSD principals for improvement of OSD chemical warfare posture.

As the Chairman of the Military Liaison Committee to the Department of Energy:

- Acting for the DoD, is the point of contact for the Department of Energy on all atomic energy matters that the DoD determines relate to the military applications of nuclear weapons or nuclear energy.
- Keeps the Secretary of Defense, other appropriate DoD components, and the Department of Energy fully informed on matters relating to the development or application of nuclear energy.
- Serves as the channel of formal communication of nuclear energy matters, except for direct communication among the Secretary or Deputy Secretary of either Defense or Energy.
- Keeps the Senate and House Armed Services Committees currently informed on all matters within the DoD relating to the development, use, or application of atomic energy, in accordance with Section 202 of the Atomic Energy Act of 1954, as amended.

As the principal staff assistant for DoD atomic energy matters, the ATSD(AE):

- Prepares major nuclear weapons-related documents, such as:
 - Annual Nuclear Weapon Stockpile Memorandum for Presidential approval
 - Annual Nuclear Weapon Deployment Plan for Presidential approval
 - Annual Nuclear Weapon Test Program for Presidential approval
 - Nuclear Weapon Development Guidance Document
 - Quarterly and Annual Congressional reports on nuclear activities, as required by the Atomic Energy Act of 1954, as amended
- Reviews, monitors, and makes recommendations on nuclear weapon-related matters, such as:
 - Classification and security guides
 - Stockpile-to-target sequences
 - Nuclear Warhead characteristics
 - Nuclear Weapon Long Range Security Upgrade Programs
 - Tactical and Strategic Nuclear Force planning documents
 - Status of Special nuclear materials production programs
 - Nuclear weapon development and production plans
 - Foreign nuclear weapon activities and testing
- Develops policies, provides advice, makes recommendations, issues guidance, develops systems and standards for administration and management and reviews and evaluates programs on atomic energy in such areas as:

Military effectiveness	survivability and endurance
reliability	command and control
security	stockpile improvement
safety	modernization
- Promotes coordination, cooperation and mutual understanding on atomic energy policies, plans and programs with DoD, and between the DoD and other Federal agencies, in areas such as:
 - Nuclear weapon accident/Incident control measures
 - Nuclear Arms Control matters
 - Programs of Cooperation and information exchange with foreign nations
 - Nuclear reactor programs and plans
 - Nuclear proliferation matters and export matters
- Participates in DoD planning, programming and budgeting activities, such as:
 - Consolidated Guidance
 - Program Objective Memoranda

- 4.
- Issue papers
 - Program Decision Memoranda
 - Reclamas and considerations of Service Reclama
 - Annual Posture Report

In the area of Assessments, the ATSD(AE) is involved in:

- Improving technology assessments by identifying the key military technologies; comparing US/USSR standing in key technologies, and comparing R&D resources.
- Improving acquisition assessments and key judgments of acquisition overview by assessing acquisition balance; comparing US/USSR production and modernization rates, comparing US/USSR acquisition process; and providing acquisition overview.
- Providing threat assessments for long range acquisition planning by determining long range planning intelligence requirements; developing methods for long range threat forecasting; and gathering intelligence from intelligence community required by long range planning.
- Managing OSD/OJCS RDT&E studies and analyses that provide evaluation of alternate weapons systems, forces, tactics and acquisition policies in order to focus and improve acquisition decision-making.

In Long Range Resource Planning, the ATSD(AE) provides assistance to the USDRE by:

- Assessing current DoD plans and DSARC programs.
 - Anticipating and reporting on problems, deficiencies, and risks.
 - Recommending long range RD&A guidance as part of Consolidated Guidance.
 - Assisting in improving DoD communication of long range investment goals and strategies to public, Congress, and other agencies.
 - Identifying technology factors which should be highlighted in planning.
 - Identifying opportunities and risks with respect to arms control initiatives limited to acquisition strategies.
 - Identifying areas for research and for intelligence focus.
- 7

In the Strategic Arms Limitations Talks/Arms Control technical support area, the ATSD(AE):

- Provides OSD with scientific and engineering analyses, advice and recommendations on nuclear and conventional weapon systems as related to overall DoD research, development, and acquisition efforts and their relationship with current and anticipated arms control issues. This process:

- Improves the process of arms control formulation, to assure that arms control provisions, weapons programs and associated technology are fully integrated.
- Provides to the Long Range Resource Planning effort the elements of arms control which have a bearing on the overall plan.
- Identifies key areas of verification which require research, development and acquisition.
- Identifies programs which, if banned by agreement, have a bearing on abrogation and subsequent employment.

As Chairman, Interim DoD Steering Committee for Chemical Warfare Matters, the ATSD(AE):

- Chairs, on an interim basis, an ad hoc committee of senior DoD officials representing organizations interested in coordinating activities in the Chemical Warfare Mission area, to include OUSDRE, OUSDP, OASD(NRA&L), OASD(HA), OASD(Comptroller), OJCS, OASD(PA), General Counsel, DIA, and the four Services.

- Is developing a long range Chemical Warfare Plan, by January 1981.
- Is developing a recommendation for the integrated management of Chemical Warfare matters in the DoD on a permanent basis.
- Is reviewing the safe and secure storage of chemical munitions.
- Identifies issues and problems which require coordinated effort on the part of DoD organizations, to include recommendations of the Defense Science Board 1980 Summer Study on Chemical Warfare.

Defense Science Board activities:

- Provides the Under Secretary of Defense for Research and Engineering with management for the Executive Secretariat of the Defense Science Board.
- Addresses issues that are of prime importance to the Secretary of Defense, the Under Secretary of Defense for Research and Engineering and other high level Defense officials.

- Emphasizes implementation of Secretary of Defense approved recommendations.

- Improves communication with industry and universities.

THE SECRETARY OF DEFENSE
WASHINGTON, D. C. 20301

Jan 17 1980

MEMORANDUM FOR SECRETARIES OF THE MILITARY DEPARTMENTS
CHAIRMAN, JOINT CHIEFS OF STAFF
UNDER SECRETARIES OF DEFENSE
ASSISTANT SECRETARIES OF DEFENSE
GENERAL COUNSEL
ASSISTANTS TO THE SECRETARY OF DEFENSE
DIRECTORS OF THE DEFENSE AGENCIES

SUBJECT: Nuclear Weapon Matters

The Assistant to the Secretary of Defense (Atomic Energy) is designated the individual responsible to the Secretary of Defense through the Under Secretary of Defense for Research and Engineering for those matters associated with the safety, security, and survivability of the nuclear stockpile and related to the planning for modernization and upgrading of the overall nuclear weapons program. He shall have the authority to issue instructions and guidance as appropriate.

This designation does not relieve any office of its nuclear or weapons-related responsibilities nor change the nuclear weapons interrelationships between OSD, JCS, the Military Services and the various CINCs; however, all offices within OSD will coordinate and obtain ATSD(AE) concurrence on any matters involving or associated with the safety, security, and survivability of nuclear weapons. This organizational arrangement will be reviewed and updated annually.

Harold Brown

A

THE SECRETARY OF DEFENSE
WASHINGTON, D. C. 20301

DEC 28 1977

MEMORANDUM FOR THE ASSISTANT TO THE SECRETARY OF DEFENSE
(ATOMIC ENERGY)
DIRECTOR, DEFENSE NUCLEAR AGENCY

In order to enhance effective administration and streamlining of the Department, I am hereby placing the Assistant to the Secretary of Defense (Atomic Energy) and the Defense Nuclear Agency under the direction, authority and control of the Under Secretary of Defense for Research and Engineering. By delegation, DNA shall be supervised by the Chairman of the Joint Chiefs of Staff (for the Joint Chiefs of Staff) for military aspects of DNA activities, including: (a) composition of the nuclear stockpile; (b) allocation and deployment of nuclear weapons; (c) military participation and support of nuclear testing; (d) frequency of technical standardization inspections; and (e) requirements for technical publications. For these purposes, the Chairman of the Joint Chiefs of Staff may task and communicate with DNA directly. The Chairman of the Joint Chiefs of Staff (for the Joint Chiefs of Staff) shall also review and provide military advice on the adequacy of the DNA efforts in nuclear weapons testing and nuclear weapons effects research which is related directly to military systems considered in the Joint Strategic Objectives Plan, Joint Force Memorandum, and Nuclear Warhead Development Guidance. The mission, responsibilities and functions of the Defense Nuclear Agency are not affected by this memorandum.

DoD Directives 5105.31 and 5148.2 shall be revised to reflect the foregoing.

Harold Brown

cc: Chairman, Joint Chiefs of Staff
Under Secretary of Defense for
Research and Engineering



August 10, 1978
NUMBER 5148.2

ASD(C)

Department of Defense Directive

SUBJECT Assistant to the Secretary of Defense (Atomic Energy)

- References:**
- (a) DoD Directive 5148.2, "Assistant to the Secretary of Defense (Atomic Energy)," January 7, 1959 (hereby cancelled)
 - (b) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976

A. PURPOSE

Pursuant to the authority vested in the Secretary of Defense under the provisions of title 10, United States Code, the position of Assistant to the Secretary of Defense (Atomic Energy) (hereinafter "the ATSD(AE)"), is hereby established with responsibilities, functions and authorities as prescribed herein. The Chairman of the Military Liaison Committee to the Department of Energy will serve as the ATSD(AE) without additional compensation.

B. RESPONSIBILITIES AND FUNCTIONS

The ATSD(AE), as the principal staff assistant for Department of Defense atomic energy matters, shall:

1. Develop policies, provide advice, make recommendations, and issue guidance on Defense atomic energy plans and programs.
2. Develop systems and standards for the administration and management of approved atomic energy plans and programs.
3. Review and evaluate programs for carrying out approved policies and standards.
4. Promote coordination, cooperation, and mutual understanding on atomic energy policies, plans, and programs within the Department of Defense, and between the DoD and other Federal agencies.

5. Participate in those DoD planning, programming and budgeting activities which relate to atomic energy matters.

6. Develop policies and procedures for the transmission of information to the Senate and House Armed Services Committees, as required by the Atomic Energy Act of 1954, as amended, and coordinate such information with other officials and agencies as appropriate.

7. Serve on boards, committees, and other groups concerned with atomic energy. Also, represent the Secretary of Defense on atomic energy matters outside the Department of Defense.

8. Perform such other functions as the Secretary of Defense may assign.

C. RELATIONSHIPS

1. The ATSD(AE) shall serve under the direction, control, and authority of the Under Secretary of Defense for Research and Engineering.

2. In the performance of assigned functions, the ATSD(AE) shall:

a. Coordinate and exchange information with other DoD organizations having collateral or related functions.

b. Use existing facilities and services, whenever practicable, to achieve maximum efficiency and economy.

c. Communicate with other Government agencies, representatives of the legislative branch, and members of the public, as appropriate, in carrying out assigned functions.

3. The Military Liaison Committee shall advise the ATSD(AE) on such atomic energy matters as the latter deems appropriate and necessary.

4. All DoD organizations shall coordinate all matters concerning the functions cited in section B. with the ATSD(AE).

D. AUTHORITIES

The ATSD(AE) is hereby delegated authority to:

1. Issue DoD Instructions and one-time directive-type memoranda, which carry out policies approved by the Secretary of Defense, in his assigned fields of responsibility. Instructions to the Military Departments will be issued through the Secretaries of those Departments, or their designees. Instructions to Unified and Specified Commands will be issued through the Joint Chiefs of Staff.

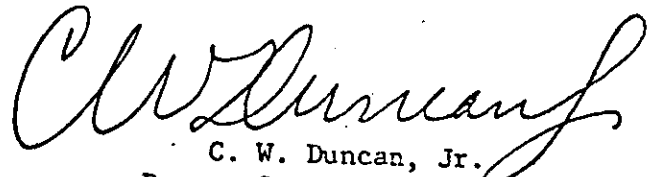
Aug 10, 78
5148.2

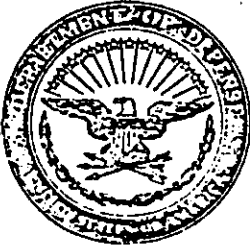
2. Obtain such reports, information, advice, and assistance, consistent with the policies and criteria of DoD Directive 5000.19 (reference (b)), as he deems necessary.

3. Communicate directly with heads of DoD organizations, including the Secretaries of the Military Departments, the Joint Chiefs of Staff, the Commanders of the Unified and Specified Commands, and the Directors of Defense Agencies. Communications of the ATSD(AE) to the Commanders of Unified and Specified Commands shall be coordinated with the Joint Chiefs of Staff.

E. EFFECTIVE DATE

This Directive is effective immediately.


C. W. Duncan, Jr.
Deputy Secretary of Defense



January 24, 1979
NUMBER 5148.1

Department of Defense Directive

ASD(C)

SUBJECT Military Liaison Committee to the Department of Energy

Reference: (a) DoD Directive 5148.1, "Military Liaison Committee to the Atomic Energy Commission," January 7, 1959 (hereby cancelled)

A. REISSUANCE AND PURPOSE

This Directive:

1. Reissues reference (a) to redefine the functions and authority of the Military Liaison Committee (hereafter referred to as "Committee"); and the relationship of the Committee with the Office of the Secretary of Defense, the Military Departments, the Organization of the Joint Chiefs of Staff, and the Defense Agencies (hereinafter "DoD Components") and with the Department of Energy (DOE).

2. Implements section 27 of the Atomic Energy Act of 1954 (hereafter called the "Act"), as amended, 42 U.S.C. § 2037(1976), which establishes the Military Liaison Committee.

B. MEMBERSHIP OF THE COMMITTEE

The Committee shall consist of:

1. A Chairperson, appointed by the President.
2. Two members from each Military Department to be assigned after consultation with the Chairperson by the Secretaries of the departments. These members normally shall be of General or Flag officer rank, and shall be authorized to represent their departments on matters before the Committee.

C. COMMITTEE STAFF

1. The Committee shall be provided with a staff of military and civilian personnel.
2. The staff shall be headed by an Executive Secretary who shall be designated by the Chairperson. This position normally will be occupied by a brigadier general or equivalent, and rotated among the three Military Departments.

3. Military personnel shall be detailed to the staff of the Committee in nearly equal numbers from each of the three Military Departments. They shall be acceptable to and serve under the direction and supervision of the Chairperson. Transfer or reassignment shall be effected, through the Office of the Secretary of Defense, only after the Chairperson has been notified sufficiently in advance to ensure timely assignment of suitable replacements.

4. Civilian personnel for the staff shall be provided by the Office of the Secretary of Defense.

D. COMMITTEE FUNCTIONS AND AUTHORITY

1. In accordance with the provisions of section 27 of the Act, the Committee, acting for the Department of Defense, is the point of contact for the Department of Energy on all atomic energy matters that the Department of Defense determines relate to the military applications of nuclear weapons or nuclear energy, including the development, manufacture, use, and storage of nuclear weapons, the allocation of special nuclear material for military research, and the control of information relating to the manufacture or utilization of nuclear weapons.

2. The Committee shall keep the Secretary of Defense and other appropriate DoD Components fully informed on all matters described in D.1.

3. The Committee shall keep the Department of Energy fully and currently informed on internal DoD matters relating to the development or application of nuclear energy.

4. If the Committee concludes that any request, action, proposed action, or failure to act on the part of the Department of Energy is adverse to the responsibilities of the Department of Defense, the Committee shall make appropriate recommendations to the Secretary of Defense.

5. The Committee shall be the channel of formal communication on nuclear energy matters, except for direct communications between the Secretary or Deputy Secretary of Defense and the Secretary or Deputy Secretary of Energy. In the exercise of its liaison function, however, the Committee shall encourage and facilitate informal contacts between DoD and DoE Components at corresponding levels.

6. The Committee shall limit its functions and authorities to those prescribed here.

E. PROCEDURES

1. The Committee shall meet as requested by its Chairperson or as scheduled. The presence of the Chairperson (or acting Chairperson) and at least one military member from each Military Department shall constitute a quorum. Members and Chairperson have equal voting power. If any member dissents on any Committee action, that member is authorized to appeal to the Secretary of Defense through the Secretary of the Department represented. Prior notification of any such action shall be made to the Chairperson and other members of the Committee. Final action on appealed cases will await decision of the Secretary of Defense.

2. The Committee shall establish its own rules of procedure.

F. EFFECTIVE DATE

This Directive is effective immediately.



C. W. DUNCAN, JR.
Deputy Secretary of Defense

Office Organization:

- The Office of the Assistant to the Secretary of Defense (Atomic Energy) and the Staff of the Chairman, Military Liaison Committee have been integrated into one office organized as shown at Tab 1.

Consultants:

- The Assistant to the Secretary of Defense (Atomic Energy) currently has six consultants. A list of these consultants, with their respective expertise, is at Tab 2.

ATOMIC ENERGY ORGANIZATION CHART

ASST TO SECDEF (ATOMIC ENERGY)
 CHAIRMAN, MILITARY LIAISON COMMITTEE
 DR. WADE
 MRS. PERRY

EXECUTIVE OFFICE
 MRS. WEBB (Executive Assistant)
 CW2 WOOD (Deputy Exec Asst)
 ADMINISTRATION
 SFC UNDERWOOD
 MSGT BRIDGETT
 YNC BACON
 SSGT NULL (DNA)
 SSGT WARNER

MILITARY APPLICATIONS AND
 MLC AFFAIRS
 MSGEN EISEL DepATSD(AE)(MA)
 DR. HIRONS
 COL MYERS
 COL CHESHER
 COL LIGHT
 CDR CLIFF
 LTC LABRANCHE (DNA)
 LTCOL SHULSTAD
 MRS. BARTLETT
 MRS. SPILLMAN

ARMS CONTROL SUPPORT
 DIRECTOR, SALT/ACSG
 MR. BUTLER
 STAFF ASST (MIL)
 MRS. CHIN

LONG RANGE RESOURCE PLANNING
 MR. MICHAEL DepATSD(AE)(LRRP)
 MR. TOBRINER MISS SKINNER
 DR. GOLD MRS. CRUM
 MR. MORRISON
 COL LUBOLD
 CAPT BROOKS
 LTC GROSS

ASSESSMENT AND
 DEFENSE SCIENCE BOARD
 DR. BERENSON DepATSD(AE)(:)
 DR. ADAMS
 CAPT POWERS (OSB MIL ASST)
 LTCOL O'REILLY
 LTCOL YARNALL (OSB MIL ASS)
 MRS. COMPTON
 MISS KEPPLER
 INTELLIGENCE
 MR. NOLAND (DIA)

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CONSULTANTS TO ATSD(AE)

Areas of Expertise

Mr. Andrew A. Lieber

Theater nuclear weapon
technology including concept;
development, feasibility review
and military applications.

RAdm Joseph W. Russel, USN(Ret)

Nuclear policy and targeting
matters particularly concerning
targeting options, possible post
attack recovery and passive defense
measures.

Gen Berton E. Spivy, Jr., USA(Ret)

Theater Nuclear matters,
European theater operations
and analysis of future forms
of conflict.

LTGen Alfred D. Starbird, USA(Ret)

VAdm Patrick J. Hannifin, USN(Ret)

MGen John C. Toomay, USAF(Ret)

Advice and counsel on matters
bearing on implementation actions
currently underway as a follow-up
to the recently completed DOD/DOE
Long Range Resource Planning Group
Study.

OFFICE LOCATIONS AND SPECIAL FACILITIES

OATSD(AE) office space includes Rooms 3E1074, 3E1069, 3C124, 3C125, and 3D1034. This space accommodates AE functions of Military Applications, Long Range Resource Planning, Assessments, SALT, and Defense Science Board.

Two of the rooms, 3E1074 and 3C125, are vaulted areas. A third room, 3E1069, is cleared for open storage of material classified up to Top Secret. Room 3C1074 is the immediate office of the ATSD(AE) and three of his Deputies (Assessments, Long Range Resource Planning, and Military Applications). Room 3C125 is occupied by the Director (presently vacant) and members of the SALT Team, the Long Range Resource Planning team, and by the ATSD(AE) Library which is managed by a DIA representative. Personnel require access to SI information.

Room 3E1069 is occupied by members of the ATSD(AE) Mail and Records Section which includes centralized files and document control for material up to and including Top Secret, and for Critical Nuclear Weapon Design Information (CNWDI).

The OATSD(AE) has three secure voice telephone facilities (located in Rooms 3E1074 and 3C125) capable of connecting to similar facilities worldwide. Information pertaining to nuclear weapons deployments, TNF modernization, and nuclear accidents/incidents is classified and often extremely time sensitive. Close coordination with DOE on MLC, weapon development and stockpile matters also dictates a secure phone capability. In addition, a rapid exchange of classified information with DIA and CIA officials on nuclear intelligence matters with NSC personnel when coordinating deployment and stockpile plan authorizations is helpful.

ATSD(AE) LEGISLATIVE RESPONSIBILITIES

BACKGROUND

- Section 202 of the Atomic Energy Act of 1954, as amended, requires that the DoD keep the Joint Committee on Atomic Energy fully and currently informed with respect to all matters within the Department of Defense relating to the development, utilization, or application of atomic energy.

- The ATSD(AE), by authority of the AE Charter and DoD Instruction 5030.16, has been designated the DoD point of contact in fulfilling this legal requirement. A wide range of information has been provided over the years. Most is classified information vital to the national security, and includes Restricted Data, Formerly Restricted Data, and Critical Nuclear Weapons Design Information (CNWDI). Information on weapon stockpile quantities, deployments and other military uses of atomic energy are routinely provided. The JCAE, in compliance with the Atomic Energy Act, has provided special storage facilities and security measures to protect and safeguard this sensitive information.

CURRENT RELATIONSHIPS

- The JCAE was abolished by Congress and oversight of Defense matters was passed to the Senate and House Armed Services Committees. Information previously passed to the JCAE is now furnished these Committees with one exception. Per agreement between the Committees and the ATSD(AE), no CNWDI is provided in written form. CNWDI briefings and charts are used only when necessary, but the information is not retained by either Committee.

INFORMATION PROVIDED TO CONGRESS

- Currently, the ATSD(AE) provides the following to the Senate and House Armed Services Committees (SASC and HASC) in compliance with the Atomic Energy Act of 1954:

-- Events as they occur:

- o Notification of security violations involving NATO ATOMAL information documents.
- o Changes of statutory determinations which are required for release of atomic information to NATO and/or NATO members.
- o Reports of nuclear security surveys, or accidents/incidents involving nuclear weapons or their storage sites.
- o Review of testimony transcripts and provision of additional information for either the record or in reply to specifically addressed questions.

-- Appearances before the Committee and/or Subcommittees concerning:

- o Nuclear weapon security and related matters.
- o NATO and TNF modernization efforts.

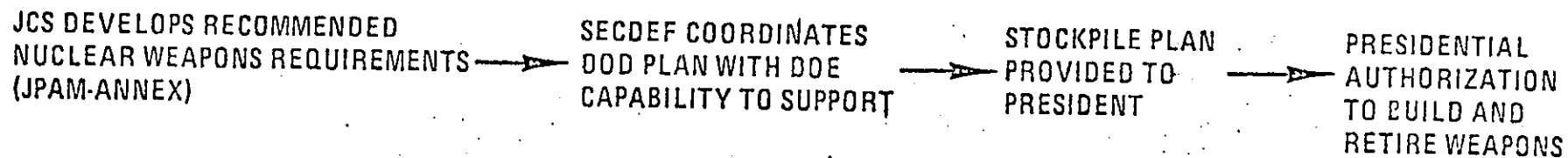
-- A quarterly report which summarizes ATSD(AE) activities by briefly describing developments for the preceding quarter. Additional background information is furnished as required.

-- Other information is frequently provided on a one-time basis, as required. For example:

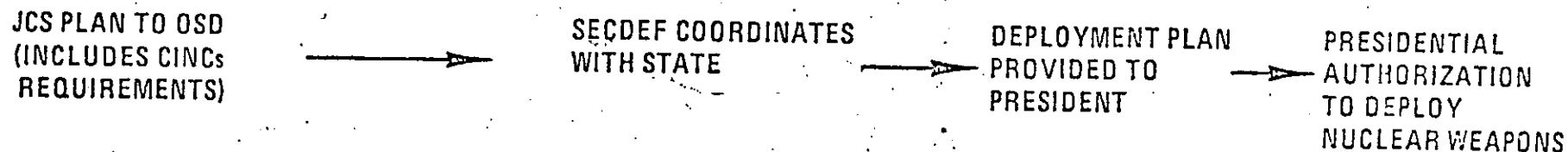
- o Nunn Amendment report, "The Theater Nuclear Force Posture in Europe."
- o DoD Nuclear Weapons Security Manual (DoD 5210.41M).
- o "Nuclear Weapons Security Primer."
- o Responses to SASC or HASC member or staffer queries on a variety of matters.

NUCLEAR WEAPON ANNUAL PLANNING CYCLE

STOCKPILE PLAN



DEPLOYMENT PLAN



Policy, Planning and Programming Cycle;
and the Annual Report to Congress

The policy, planning, and programming cycle documents and the Annual Report to Congress contain numerous references to and sections on strategic nuclear weapons and forces, theater nuclear forces, nuclear employment, deployment and acquisition policy, and the nuclear stockpile. In addition, there are research, development, test and evaluation (RDT&E), and command, control and communications (C³) items which relate to nuclear employment policy, forces and weapons which we review and comment on. This office reviews, co-authors or drafts the sections noted above in the following key documents:

- Consolidated Guidance (which consolidates the former Defense Guidance, Planning and Programming Guidance, and Fiscal Guidance into a single document).
- POMs.
- Defense Report.

We are a member of the "OSD-8", the corporate OSD group which prepares Program Objective Memoranda (POM) Issue papers. These POM Issue papers derive from the Service - submitted POMs and the Joint Program Assessment Memoranda (JPAM). PA&E, in conjunction with this office, prepares the Theater Nuclear Force POM Issue paper and reviews the POM Issue papers relevant to nuclear employment, deployment, acquisition and stockpile. In addition, the ATSD(AE) provides advice and recommendations for the Secretary for issuing his Program Decision Memoranda (PDM) and the Amended PDM, which are issued as a result of Service reclaims to the PDM.

Tab 1 shows a breakout of the process for preparing the Stockpile Plan and the Deployment Plan.

MILITARY LIAISON COMMITTEE (MLC)

to the

DEPARTMENT OF ENERGY (DoE)

BACKGROUND

- The MLC is a statutory body created by the Atomic Energy Act of 1946 and continued by the Atomic Energy Act of 1954, as amended. It is comprised of a Chairman appointed by the President with the advice and consent of the Senate, and equal memberships from each of the military departments as determined by the Secretary of Defense.

- DoD Directive 5148.1 specifies that the Secretary of each Department, after consultation with the Chairman, will assign two members, normally General/Flag officers authorized to represent their departments. Each member has an alternative who normally serves as the member's action officer.

- Historically, the Chairman serves concurrently as the Assistant to the Secretary of Defense (Atomic Energy) and a member of his staff (currently his MA deputy) serves as Executive Secretary of the MLC.

FUNCTION

- The 1954 AE Act states that the AEC (now DOE) "shall advise and consult with the DoD through the MLC on all atomic energy matters which the DoD deems to relate to military applications of atomic weapons or atomic energy." In practical terms, and under DoD Directive 5148.1, with the exception of communications signed by the Secretary or Deputy Secretary of Defense, the MLC is the only authorized channel of communication between the DoD and the DoE on substantive matters involving policy, programming and the commitment of substantial funds relating to the military application of atomic energy.

- The MLC provides liaison to DoE for military applications of atomic energy including:

- Development, use and allocation of special nuclear material.
- Military research and laboratory coordination.
- Control of information on nuclear applications.

MEETINGS

- Members meet at the call of the Chairman or at such times as it may fix. Presence of the Chairman (or Acting Chairman) and three members, including at least one representative from each Department, shall constitute a quorum. A list of current members and observers is at Tab 1.

- Members vote on matters which require the determination of a DoD position at these meetings. Observers from the JCS, Defense Nuclear Agency, DoE, USNC, and interested OSD offices as required or invited, also attend.

RULES OF PROCEDURE

- See Tab 2.

ORGANIZATION

- Current DoE organization chart is at Tab 3.

AS OF: 6 November 1980

			<u>ROOM</u>	<u>PHONE</u>	<u>DOP</u>
Chairman		Dr. James P. Wade	3E1074	56639	
Executive Secretary		MGen David W. Einsel Jr. USA	3E1074	75561	1 Aug 80
Staff Coordinator		CDR Gene L. Cliff, USN	3C124	51097	
<u>Department of the Army</u>					
DAMA-CS	Member	BGen (P) Lawrence F. Skibbie	3E432	70387	1 Sep 78
DAMA-CSS	Contact	LTC William V. Murry	3C444	43990	
DAMA-AOA-M	Mailroom		3A474	75514	
DAMO-SS	Member	BGen (P) Niles J. Fulwyler	3E530	54912	1 Feb 77
DAMO-NCN	Contact	LTC Frank R. Braden III	3B540	54432	
	Mailroom		3C542	77862	
<u>Department of the Navy</u>					
OP-65	Member	RAdm Powell F. Carter Jr.	4E566	72900	1 Jul 78
OP-653E	Contact	LCDR R. A. Crosby	4D562	74558	
OP-981	Member	RAdm Charles O. Prindle	5C675	52905	1 Jul 78
OP-981N	Contact	CAPT Bryon Powers	5C663	53633	
<u>Department of the Air Force</u>					
AF/DRQ	Member	MGen Robert D. Russ	4E342	53020	1 Aug 80
AF/RDQI	Contact	Major Roger S. Case	5C470	44590	
	Mailroom		4E327	77636	
AF/XOX	Member	BGen (P) Harry A. Goodall	4E1046	52888	1 Nov 78
	Contact	LTC Richard A. Harris	4D1050	71870/57050	
	Mailroom		4C1037	71835	
<u>Observers</u>					
USMC/Cmdt	Contact	Major Lawrence G. Karch		44221	
DNA	Director	LTG Harry A. Griffith	200	325-7004	
	Dep Dir	RAdm Guy. H.B. Shaffer	201A	325-7065	
	Contact	COL Charles R. Linton, USAF	228	325-7032	
JCS	J-5	BGen H. H. Bendorf, USAF	1E962	697-8155	
	Contact	LTC Ivan R. Farris	1D962	695-7064	
	Mailroom		2D979	697-1438	
DOE	DMA/Dir	MGen William W. Hoover, USAF	A-367	353-4221	
	DEP/Dir	Mr. James W. Culpepper	A-371	353-5518	
	Contact	Mr. Ralph Caudle	A-383	353-3441	
	Mailroom		A-362	353-3245	

RULES OF PROCEDURE

FOR THE

MILITARY LIAISON COMMITTEE TO THE DEPARTMENT OF ENERGY

References: a. Atomic Energy Act of 1954, as amended
b. DoD Directive 5148.1

Purpose: The purpose of this document is to define certain rules of procedure to be followed in the conduct and operation of the Military Liaison Committee (MLC) to the Department of Energy (DoE).

Authority: The rules of procedure contained herein are issued pursuant to DoD Directive 5148.1, reference b.

Membership of the Committee:

The Atomic Energy Act of 1954 (hereinafter referred to as the "Act"), provides for the establishment of the Committee, consisting of...

"a. a Chairman, who shall be the head thereof and who shall be appointed by the President, by and with the advice and consent of the Senate..." and

"b. a representative or representatives from each of the Departments of the Army, Navy and Air Force, in equal numbers, as determined by the Secretary of Defense, to be assigned from each Department by the Secretary thereof..."

DoD Directive 5148.1 (hereinafter referred to as the "Directive") provides that there shall be two members assigned by the Secretary of each military department, after consultation with the Chairman, and that these members shall normally be of General or Flag rank.

Alternate Members:

In the absence of a principal military member, his alternate, although not empowered to vote, may attend MLC meetings as the recognized representative of the principal member, in order to provide for continuity.

Acting Chairman:

The Act authorizes the Chairman to designate one of the MLC members as the Acting Chairman to act during his absence. In this event, the Acting Chairman will assume the full responsibility of chairmanship which includes insuring that staff coordination with OSD and other offices and agencies, as may be appropriate, has been accomplished. In practice, the senior military member on duty in the Washington area has been so designated.

Quorum:

The Directive requires the presence of the Chairman (or Acting Chairman) and three military members, including at least one representative of each Service Department to constitute a quorum.

Military Liaison Committee Decisions:

The MLC is authorized to act on behalf of and for the Department of Defense, in accordance with the provisions of the Directive. Matters submitted to the MLC for approval (MLC Action Items) are voted upon. The MLC acts either by voting on Action Items at formally convened meetings or by voting on Special Action Items that require disposition between formal sessions.

At formally convened meetings, the Chairman and each member present will cast his vote concurring or non-concurring with the proposed MLC action. (As an expedient in polling the members at formal meetings, the Chairman may ask the senior members from each Service to cast the vote for his Service.) An MLC decision results when the vote of the members present is unanimous. A decision also results when there is a simple majority of votes and no member in the minority elects to appeal the decision, through his channels, to the Secretary of Defense. In the event of a tie vote, the Chairman may defer the action item at issue for staff revision and/or reconsideration by the MLC, or he may seek a decision from the Secretary of Defense. The Chairman will inform the members of his intended course of action.

When circumstances require the processing of an action item that should not be delayed until the next formal MLC meeting, it will be distributed as a Special Action Item, with a request that members

vote upon it by executing a written Record of Vote and transmit same to the Executive Secretary, MLC.

When acting upon Special Action Items, an MLC decision results when there is unanimous concurrence among the members on duty in the Washington area and available for voting, providing they constitute a quorum as defined above. If a quorum is not attained, the Special Action Item will be deferred until such time as a quorum has voted, or until the next formal meeting of the MLC. If any member casts a vote of non-concurrence because of objections of a substantive nature, the Chairman will cause the item to be deferred for reconsideration at the next formal meeting, or to be revised by the staff and reconsidered as a Special Action Item. Non-substantive changes will be negotiated by the MLC staff.

Non-Concurrence and Appeal:

The Directive provides that if any military member dissents on any MLC action, he is authorized to appeal to the Secretary of Defense through the Secretary of the Department he represents. The Chairman, when dissenting, may appeal directly to the Secretary of Defense. Any member who dissents on a Committee action will, at the meeting in which the vote is taken, notify the other members as to whether or not he will appeal the majority vote of the MLC. If the dissenting member desires to consult before electing whether or not he will appeal; he may use two additional workdays in which to advise the other members, through the Executive Secretary, MLC, of his intended action. If the votes cast result in a simple majority and no dissenting member elects to appeal, the MLC action will be processed in accordance with the majority vote. If any dissenting members elects to appeal, final disposition of the action item at issue will await decision of the Secretary of Defense.

Agenda:

Subject to the direction and guidance of the Chairman, the Executive Secretary, MLC will prepare an agenda of matters to be considered by the Committee. The agenda and the corresponding items to be acted upon will be distributed to the members not later than three working days before the day of the meeting of the Committee.

PROGRAM AND BUDGET INFORMATION, OATSD(AE). The Assistant to the Secretary of Defense (Atomic Energy) (ATSD/AE) has a portion of the money allocated to the Office of the Under Secretary of Defense (Research and Engineering/ Organization of the Joint Chiefs of Staff (OUSDRE/OJCS) in Program Element (PE) 65104D for Technical Support. This Program Element is part of the defense wide Mission Support Budget Activity: Support to the Office of the Secretary of Defense and Organization of the Joint Chiefs of Staff. The ATSD(AE)'s allocation is:

FY 1980 (Actual)

\$1.5M

FY 1981 (Planned)

\$2.1M



OFFICE OF THE SECRETARY OF DEFENSE

WASHINGTON, D.C. 20301

18 November 1980

MEMORANDUM FOR THE UNDER SECRETARY OF DEFENSE FOR RESEARCH
AND ENGINEERING

SUBJECT: Transition Items (U)

(U) As I understand your request at the last staff meeting, below are items which will require near-term attention during, and immediately following, the transition period:

Near (Pre-January 20) Term Issues

1. [REDACTED] 5 USC 552 (b) (1)

2. [REDACTED]

[REDACTED] 5 USC 552 (b) (1)

3. (U) CHEMICAL WARFARE MANAGEMENT. The designation of a focal point (and management lead) for Chemical Warfare Matters in OSD is a matter of high priority. The CW Steering Committee (Chairman: Dr. J. Wade) is preparing for the Secretary of Defense an options paper for his review and addressal with the new Secretary of Defense.

4. [REDACTED]

[REDACTED] 5 USC 552 (b) (1)

Post (January 20) Issues

1. [REDACTED]

[REDACTED] 5 USC 552 (b) (1)

2. (U) POLARIS. A decision is required on what, if any SALT steps will be taken when the second Trident SSBN (MICHIGAN) goes to sea. If additional POLARIS SSBNs are to be dismantled, the Navy will need to know within the next three months. A Navy letter on the subject is enroute.

Jim Wade

James P. Wade, Jr.
Assistant to the Secretary
of Defense (Atomic Energy)

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UNDER SECRETARY OF DEFENSE FOR RESEARCH AND ENGINEERING

The attached documents were provided to the Carter-Reagan Transition Team. No deletions have been made in the released documents. However, a total of 59 documents have been reviewed and determined to be currently and properly classified within the meaning of Executive Order 12065 and are denied in their entirety. The unauthorized release of this information would provide a foreign nation with an insight into the war potential of the defense posture of the United States and allow an adversary to improve or develop effective countermeasures. Therefore, the information is denied under 5 USC 552(b)(1). An index of the denied documents is attached.

Further, the documents provide the personal observations, recommendations and conclusions of staff officers and the unauthorized release of this information could inhibit the frank exchange of information between staff agencies and are denied under 5 USC 552(b)(5).

The Initial Denial Authority is Mr. L. A. Knutson, Director Program Control and Administrator, Office of the Under Secretary of Defense for Research and Engineering.

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Technology Base

Strategic

Acquisition Policy

International Programs and Technology

Test and Evaluation

Tactical

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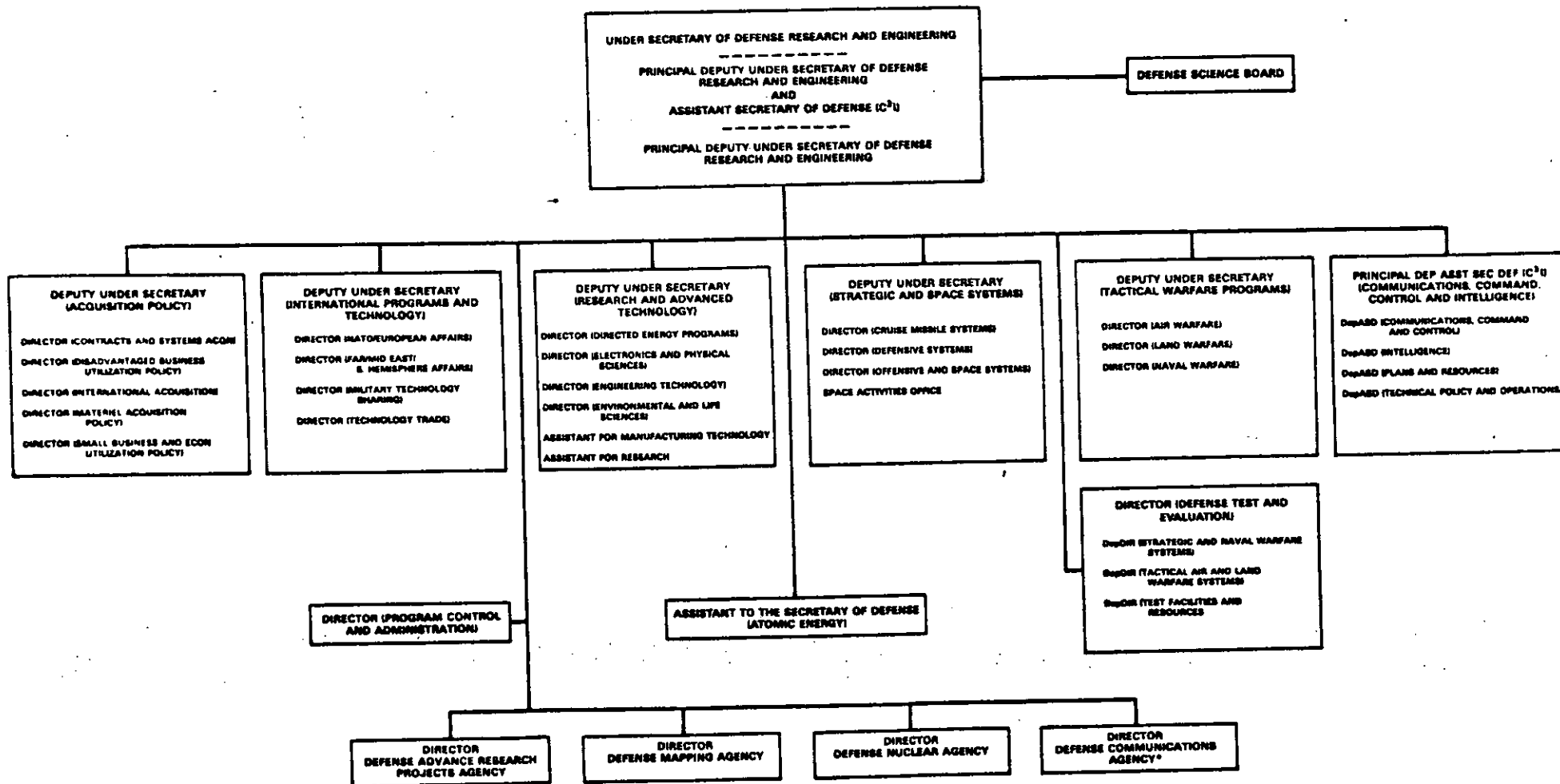
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*REPORTS DIRECTLY TO ASD (C³)

1 MAY 1987

OFFICE OF THE SECRETARY OF DEFENSE

November 18, 1980

Memo For LTC Hollander

PERSONNEL AUTHORIZATIONS AS OF 11/18/80:

	<u>Civ.</u>	<u>Mil.</u>	<u>Total</u>
R&E	191	57	248
C ³ I	70	15	85
Atomic Energy	17	16	33
Small & Disadv- antaged Business	9	0	9

Edna

August 1, 1980

INTERNAL ALLOCATIONS

USDRE

	<u>Civ.</u>	<u>Mil.</u>	<u>Total</u>
USDRE	8	4	12
AP	41	8	49
IP&T	21	5	26
R&AT	29	5	34
S&SS	18	12	30
TWP	33	7	40
T&E	18	11	29
PC&A	22	5	27
Unallocated	<u>1</u>	<u>0</u>	<u>1</u>
	191	57	248

C³I

ASD(C ³ I) Office	3	2	5
C ³ I	<u>66</u>	<u>13</u>	<u>79</u>
	69	15	84

AUTHORIZATION

(7 July '80)

USDRE	191	57	248
C ³ I	<u>69</u>	<u>15</u>	<u>84</u>
TOTAL	260	72	332

UPDATED NOVEMBER 17, 1980

MASTER

August 1, 1980

ORGANIZATION

Civ.
5

Mil.
2

Total
7

Under Secretary of Defense Research & Engineering

- Dr. William J. Perry 1
- Col. Paul G. Kaminski, USAF 1M
- LTC Kenneth Hollander, USA 2M
- Mrs. Betty Ramsdale 2
- Mrs. Donna Anderson 3
- Mrs. Betty K. Hughes 4
- Mr. Lewis Washington 5

Principal Under Secretary & ASD(C³I)

(3)*

(2)*

(5)*

- Dr. Gerald P. Dinneen 1C
- Capt. Francis D. Carden, USN 1MC
- LTC John F. Bashore, USA 2MC
- Mrs. Sharron Kramer 2C
- Mrs. Judy Coppin 3C

Principal Under Secretary

3

2

5

- Dr. Walter LaBerge 6
- LTC Gary Hyde, USA 3M
- Col. Barton Krawetz, USAF 4M
- Mrs. Pat Schotta 7
- Mrs. Carolyn Caldwell 8

*Charged to C³I

	<u>Civ.</u>	<u>Mil.</u>	<u>Total</u>
<u>Dep Under Secretary (Acquisition Policy)</u>	41	8	49
Professional Vacancy 9	2	1	3
Col. John E. Roberts, USAF 5M			
Miss Norma Whited 10	5	2	7
<u>Assistant for International Acquisition</u>			
Col. Ronald L. Carlberg, USAF 6M			
Mr. Walter Henderson 11			
Mr. Marvin Stearn 12			
Mr. James B. King 13			
LTC Mark A. Baker, USA 7M			
Mrs. Gerry Leginski 14			
Ms Sandra Delman 15	2	0	2
<u>Dir, Contracts & Systems Acquisition</u>			
Mr. Robert F. Trimble 16			
Mrs. Sharon Rightenburg 17			
<u>Dep Dir, Defense Acquisition Regulatory Sys</u>	4	0	4
Mr. James T. Brannan 18			
Mr. Charles Lloyd 19			
Professional Vacancy 20			
Mrs. Mildred Ashurst 21	5	2	7
<u>Dep Dir, Contract Placement & Administration</u>			
Professional Vacancy 22			
Professional Vacancy 23			
Mr. Thomas Bell 24			
Maj. D. R. Wright, USAF 8M			
Cdr Edward J. Bano, USN 9M			
Mrs. Mary Barton 25			
Mrs. Carol Berg 26			

Civ. Mil. Total

Dep Under Secretary (Acquisition Policy)

Dep Dir, Major Systems Acquisition

- Mr. John E. Smith 27
- Mr. Truxton Baldwin 28
- Mr. Manfred Reinhard 29
- Military Vacancy 10M
- Mr. David K. Anderson 30
- Mrs. Ginger Roberts 31

5 1 5

Dep Dir, Cost, Pricing & Finance

- Mr. John Kendig 32
- Mr. Herbert Fisher 33
- Mr. David Koonce 34
- Professional Vacancy 35
- Miss Rachel Betlyn 36

5 0 5

Dir, Materiel Acquisition Policy

- Mr. John A. Mittino 37
- Mrs. Barbara Nedrow 38

2 0 2

Dep Dir, Production Resources

- Mr. Richard Donnelly 39
- Mr. John Osterday 40
- Mr. John E. Dubreuil 41
- Mr. Kenneth Foster 42
- Mrs. Betty Crook 43

5 0 5

Dep Dir, Standardization and Support

- Military Vacancy 11M
- Mr. D. D. Burchfield 44
- Mr. Howard Elsworth 45
- Mr. Mark Grove 46
- Professional Vacancy 47
- Col. Thomas Musson, USAF 12M
- Mrs. Jo Ingram 48
- Clerical Vacancy 49

6 2 8

Civ.	Mil.	Total
21	5	26

Dep Under Secretary (International Programs and Technology)

- Dr. Vitalij Garber 50
- RADM Samuel W. Hubbard, USN 13M
- Col. John Ello, USAF 14M
- Dr. Jeanne Mintz 51
- Mrs. Rita J. Artwohl 52
- Mrs. Audrey Case 53

4	2	6
---	---	---

Director, NATO Affairs

- Mr. Everett Greinke 54
- Mr. Francis M. Cevasco, Jr. 55
- Mr. Arthur Ligoske 56
- Col. John Hager, USAF 15M
- Mrs. Patricia Frame 57
- Miss Glenda Weddle 58

5	1	6
---	---	---

Dir, Far and Mid East and S. Hemisphere

- Mr. Gerald D. Sullivan 59
- Professional Vacancy 60 (Anthon Berg)
- Mrs. Judith Cooper 61

3	0	3
---	---	---

Dir, Military Technology Sharing

- Mr. Frank Kapper 62
- Mr. Howard Gardiner 63
- LTC Bruce Meiser, USAF 16M
- Mrs. Ann O'Connor 64
- Mrs. Elsa Conliffe 65

4	1	5
---	---	---

Dir, Technology Trade

- Dr. Oles Lomacky 66
- Mr. Gregory DeSantis 67
- Mr. John Batluck 68
- Capt. James Hower, USN 17M
- Mrs. Ann Wesner 69
- Miss Joan Bromiley 70

5	1	6
---	---	---

Principal Deputy ASD(C³I)

Dr. Harry L. Van Trees 4c
Col. Richard B. Clement, USAF 3Mc
Mr. Craig Wilson 5c
Professional Vacancy 6c
Mrs. Louise Ensminger 3c
Miss Colena Rogers 8c
Mrs. Ann Gillenwater 9c

Civ.
66

Mil.
13

Total
79

6

1



2

0

2

DASD(Programs & Resources)

Mr. Kenneth B. Cooper 10c
Miss Joanne Petras 11c

4

0

4

Dir, C³ Resources

Dr. Alden P. Sullivan 12c
Mr. Nat Cavallini 13c
Mr. Dennis Litchfield 14c
Mrs. Carol Katawczik 15c

5

0

5

Dir, Intelligence Resources

Mr. James I. Mayer 16c
Mr. Norman Ghisalbert 17c
Mr. Alexander Buinickas 18c
Mrs. Claudia Scruggs 19c
Miss Debbie Mannherz 20c

1

0

1

Dir, C³ Systems Research and Evaluation

Professional Vacancy (Dr. Stuart Starr) 21c

2

0

2

DASD(C³)

Dr. Thomas P. Quinn 22c
Mrs. Yolanda Beach 23c

	<u>Civ.</u>	<u>Mil.</u>	<u>Total</u>
<u>Principal Deputy ASD(C³I) (cont'd)</u>			
<u>DASD(C³) (cont'd)</u>			8
<u>Dir, Theater & Tactical C²</u>	6	2	
Mr. John C. Cittadino 34c			
Mr. Dennis Marquis 26c			
Professional Vacancy 27c			
LTC John H. Martel, USAF 4mc			
Col. Jonathan Myer, USAF 5mc			
LTC Frank McLeskey, USA 10mc			
Mrs. Rita Kibler 28c			
Mrs. Virginia Hug 29c			
Mrs. Pat McNelis 30c			
<u>Dir, Electronic Warfare & Countermeasures</u>	3	1	4
Mr. John M. Porter 31c			
Professional Vacancy (Mr. William J. Lewis) 32c			
Capt. James H. Eckart, USN 6mc			
Mrs. Louise Martoncik 33c			
<u>Dir, Information Systems</u>	5	1	6
Professional Vacancy (Stephen T. Walker) 34c			
Mr. Rudolph Sgro 35c			
Mr. Stephen T. Walker 36c			
LTC John Lane, USAF 7mc			
Mrs. Mary Gober 37c			
Miss Barbara Lawhorn 38c			
<u>Dir, Communications Systems</u>	8	2	10
Mr. George L. Salton 39c			
Mr. Albert G. Facey 40c			
Mr. Andrew Hartigan 42c			
Mr. Richard Howe 43c			
Mr. Norman Gray 44c			
Col. Jackie L. Manbeck, USA 8mc			
Capt. Jerry Stump, USN 9mc			
Mrs. Sally Dimond 45c			
Mrs. Patricia Roberts 46c			
Mrs. Margaret French 47c			

Total

Civ.

Mil.

Principal Deputy ASD(C³) (cont'd)

DASD(C³) (cont'd)

Dir, Strategic C³

5 2

- Dr. Robert D. Turner (Actg) 48c
- Mr. Reynold Thomas 49c
- Mr. Dale Hamilton 41c
- Professional Vacancy 50c (Space used for Dr. Stuart Starr)
- Col. John C. Frishett, USAF 15mc
- LTC Robert Leahy, USAF 11mc
- Mrs. Sandra Sims 51c
- Mrs. Rachel Ellis 52c

DASD(Technical Policy & Operations)

6 0

- Dr. David Solomon 53c
- Mr. Walter Coari 54c
- Mr. Paul Cahan 55c
- Mr William J. Cook 56c
- Miss Harriet Freedman 57c
- Mrs. Evelyn Robbins 58c

DASD(Intelligence)

2 0

- Dr. James H. Babcock 59c
- Miss Marjorie Holloway 60c

Dir, National Intelligence Systems

4 0

- Mr. Anthony J. Tether 61c
- Mr. Ronald J. Goldstein 62c
- Mr. Victor E. Jones 63c
- Miss Julie Mikovits 64c

Dir, Tactical Intelligence Systems/Dir, Reconnaissance Surveillance & Target Acquisition

6 3

- Mr. Charles Hawkins 65c
- Mr. Michael I. Keller 25c
- Miss Janet Burner 70c
- Mrs. Gail Moore 68c

Programs Division

- Capt. Harvey E. Fisher, USN 12mc
- LTC Andrew LaChance, USAF 13mc
- Mr. Loren Larsen 67c

Principal Deputy ASD(C³I)

Civ.

Mil.

Total

DAS (Intelligence) (cont'd)

Dir, Tactical Intelligence Systems/Dir, Reconnaissance,
Surveillance & Target Acquisition

Plans Division

Col. Charles E. Schmidt, USA (Chief) *14mc*
Mr. Ernest W. Liska *69c*

	<u>Civ.</u>	<u>Mil.</u>	<u>Total</u>
<u>Dep Under Secretary (Research & Advanced Technology)</u>	29	5	34
Dr. Arden Bement 71	6	1	
Dr. George Millburn 72			
Col. T. R. Hukkala, USA 18M			
Mr. James Terrell 73			
Mrs. Virginia Gross 74			
Mrs. Nancy Kish 75			
Mrs. Susan Luker 76			
<u>Assistant for Research</u>	2	0	2
Dr. George Gamota 77			
Ms Barbara Findlay 78			
<u>Director, Directed Energy Programs</u>	2	1	3
Dr. Richard Airey 79			
Col. Frederick S. Holmes, USA 19M			
Mrs. Jan King 80			
<u>Assistant for Manufacturing Technology</u>	1	0	1
Mr. Lloyd Lehn 81			
<u>Director, Electronics & Physical Sciences</u>	7	0	7
Mr. Joseph Feinstein 82			
Professional Vacancy 83 (Mr. John MacCallum)			
Professional Vacancy 84			
Mr. Samuel Musa 85			
Professional Vacancy 86 (Mr. Joe Batz)			
Mrs. Doris Reeves 87			
Mrs. Garnette Dupont 88			
<u>Director, Engineering Technology</u>	8	0	8
Mr. G. R. Makepeace 89			
Professional Vacancy 90			
Mr. Jerome Persh 91			
Mr. Ray Thorkildsen 92			
Mr. Raymond Siewert 93			
Mr. George C. Kopcsak 94			
Miss Janice Rockwell 95			
Mrs. Bettie Hall 96			

Civ.

Mil.

Total

Dep Under Secretary (Research and Advanced
Technology) (cont'd)

3 3 6

Director, Environmental & Life Sciences

- Col. Elbert W. Friday, USAF 20M
- Mr. Thomas Dashiell 97
- Col. Phillip Winter, USA 21M
- Cdr Paul R. Chatelier, USN 22M
- Mrs. Donna Donovan 98
- Mrs. Peggy Melburn 99

	<u>Civ.</u>	<u>Mil.</u>	<u>Total</u>
<u>Dep Under Secretary (Strategic & Space Systems)</u>	17	12	29
Dr. Seymour L. Zeiberg 100	4	4	
B/G Donald A. Vogt, USAF 23M			
Col. Joseph Eibling, USAF 24M			
LCDR John P. Fuller, USN 25M			
LTC Allan J. MacLaren, USAF 26M			
Mrs. Sandra VanNamee 101			
Miss Wanda Jacobs 102			
Mrs. Elizabeth Crossman 103			
<u>Director, Defensive Systems</u>	5	2	7
Dr. Verne Lynn 104			
Mr. William H. Winter 105			
Professional Vacancy 106 (Arthur H. Bertapelle)			
Col. David Niebauer, USAF 27M			
LTC Charles A. Lau, USAF 28M			
Miss Phyllis Bishop 107			
Mrs. Rowena Peterson 108			
<u>Director, Offensive & Space Systems</u>	5	2	7
Dr. Marvin C. Atkins 109			
Dr. Richard S. Ruffine 110			
Col. Warren R. McDonald, USAF 29M			
Col. Stephen F. Moore, USAF 30M			
Mr. Howard Barfield 111			
Mrs. Janelle Orrico 112			
Mrs. Adriane Baggett 113			
<u>Director, Cruise Missiles</u>	2	2	4
Mr. James F. Mullen 114			
Col. William L. Othling, USAF 31M			
Capt. O. V. Shearer, USN 32M			
Mrs. Margaret Dunan 115			
<u>Space Activities Office</u>	1	2	3
Civilian Vacancy 33M (Space converted from military) (Used for Bertapelle)			
LTC Gerald May, USAF 34M			
Maj. Ted Mervosh, USAF 35M			
Mrs. Linda Harney 116			

	<u>Civ.</u>	<u>Mil.</u>	<u>Total</u>
<u>Dep Under Secretary (Tactical Warfare Programs)</u>	33	7	40
Mr. David C. Hardison 117	7	1	8
Col. Donald Couture, USAF 118 36M			
Dr. Milton J. Minneman 118			
Professional Vacancy 119			
Mrs. Melanie Bernard 120			
Mrs. Annette Gwensberg 121			
Mrs. June Langley 122			
Mrs. Peggy Wolf 123			

Director, Air Warfare 8 3 11

- Dr. John R. Transue 124
- Mr. Martin Chen 125
- Mr. Gerald Fitzgibbon 126
- Mr. Dean Gissendanner 127
- Professional Vacancy 128 (Mr. Charles Williams)
- Capt. Donald V. Boecker, USN 37M
- Col. William J. Scheuren, USMC 38M
- Col. Charles Hansult, USAF 39M
- Mrs. Irene Bacon 129
- Mrs. Janice Lovitt 130
- Mrs. Roberta Mc Call 131

Director, Land Warfare 9 2 11

- Mr. Charles W. Bernard 132
- Professional Vacancy 133
- Mr. C. F. Horton 134
- Mr. Myron Bruns 135
- Mr. Guntis Sradars 136
- Professional Vacancy 137
- Col. Charles Garvey, USA 40M
- LTC Cletus B. Kuhla, USAF 41M
- Mrs. Margo Potter 138
- Mrs. Anna Seidel 139
- Mrs. Sandra Price 140

Dep Under Secretary (Tactical Warfare Programs) (cont'd)

Director, Naval Warfare

Civ.

Mil.

Total

9 .

1

10

Mr. William D. O'Neil 141
Mr. Edward McKinney 142
Mr. David L. Anderson 143
Mr. Thomas Amrhein 144
Mr. John P. McGough 145
Mr. Charles V. Kincaid 146
Capt. John Peters, USN 147
Mrs. Carol Keefe 147
Miss Bonnie May 148
Miss Sandra Harvey 149

<u>Civ.</u> 18	<u>Mil.</u> 11	<u>Total</u> 29
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Director, Defense Test & Evaluation

RADM I. W. Linder, USN (Ret) 150
 LTC Frank H. Tubbesing, USAF 43M
 Mrs. Kay McAllister 151

3	8	11
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Deputy Director, Tactical Air & Land Warfare Systems Test & Evaluation

B/G Eugene Fox, USA 44M
 Col. Ralph O. Anderson, USA 45M
 Col. Joseph K. Spiers, USAF 46M
 LTC Robert K. Rahn, USAF 47M
 LTC Robert W. Demont, USA 48M
 LTC Edward C. Robinson, USA 49M
 Capt. John F. Calvert, USN 50M
 Col. Marvin T. Garrison, USMC 51M
 Mrs. Miriam Harrison 153
 Mrs. Lois Ruff 154
 Mrs. Janet Myers 155

7	2	9
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Deputy Director, Strategic & Naval Warfare Systems Test & Evaluation

Mr. Charles K. Watt 156
 Dr. David E. Anderson 157
 Mr. Donald R. Greenlee 158
 Mr. H. Eugene Thompson 159
 Mr. G. Donald Wood 152
 Cdr Boyden Steele, USN 52M
 LTC Robert L. Christopher, USAF 53M
 Miss Gail Greene 160
 Miss Kathy Thacker 161

6	0
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Deputy Director for Test Facilities & Resources

Mr. William A. Richardson 162
 Mr. James Cowgill 163
 Mr. Charles W. Karns 164
 Mr. Richard R. Ledesma 165
 Mrs. Ann Powell 166
 Mrs. Mary Lou Tennant 167

Civ.
22

Mil.
5

Total
27

Dir, Program Control & Administration

Professional Vacancy 168
Mr. C. T. Everett 169
Mr. Paul Mirakian 170
Mr. Louis E. White 171
Miss Angie Moore 172
Mrs. Ruth Hoppe 173
Miss Ida Mae Young 174
Clerical Vacancy 175

Security Policy & Review Division

Professional Vacancy 176
Mrs. Anita Bai 177

Personnel

Miss Edna Willis 178

Mail & Records Section

Miss Ada Sherrill 179
Mrs. Bert Eister 180
Mr. Corsby Callaway 181
Miss Viola D. Hampton 182
Mr. Howard M. Sobel 183
Mr. Bernard A. Herbert 184
Miss Yolanda Sheppard 185
SSGT James A. Simmons, USAF 54M
SSGT Richard L. Hersey, USAF 55M

Special Intelligence Records

CMSGT E. J. Francisco, USAF 56M
Mr. Wilson R. Collins 186
Mr. Nathaniel W. Lucas 187
TSGT James A. Reinertson, USAF 57M

Special Intelligence Clearances

Mr. Thomas E. McConell 188

Defense/IDA Management Office

Col. James B. Statler, USA 58M
Mrs. Shirley Goldsmith 189

CAROL GARY 190



RESEARCH AND
ENGINEERING

OFFICE OF THE UNDER SECRETARY OF DEFENSE

WASHINGTON, D.C. 20301

20 November 1980

MEMORANDUM FOR DIRECTOR, PROGRAM CONTROL AND ADMINISTRATION

SUBJECT: Acquisition Policy Roles and Missions

The following information is provided regarding the structure and capabilities of Acquisition Policy as it has evolved over the last three years. You should find it helpful in identifying the resources that are part of the Research and Engineering team that functions in direct support of contracts and systems acquisition and materiel acquisition policy.

The Director (Contracts and Systems Acquisition) provides procurement and business management expertise in the principal areas of:

- Contracts and Systems Acquisition Policy
- Weapon Systems Acquisition Support (business planning and strategies)
- DoD Acquisition Regulatory System (DARS) (successor to ASPR)
- Foreign Procurement
- Intergovernmental Agreements
- Cost Accounting Standards
- Contract Finance
- Cost and Price Analysis
- Overhead Cost Management, including IR&D
- DoD Profit and Investment Policy
- Contract Administration
- Career Development
- Procurement Review
- Protests and Appeals

- Statistics (contracts and system acquisition)
- Patents, Data, Copyrights and Royalties
- National Policies (contracting/procurement)

The Director (Materiel Acquisition Policy) provides production and standardization expertise in areas as follows:

- Defense Standardization Program
- DoD Specifications and Standards Control and Tailoring
- Utilization of Industry Specifications and Standards Documents and Practices
- NATO Standardization (assemblies, components, spare parts and material)
- DoD Metric Conversion
- DoD RELiability and Maintainability
- DoD Software Management Plan
- DoD Commercial Commodity Acquisition
- DoD Quality Assurance
- DoD Technical Data Management
- Materiel Acquisition Policy
- Defense Production Engineering Services Office (DPESO)
- Production Management
- The Defense Industrial Base
- Manufacturing Productivity
- Strategic Materials
- Energy Conservation (industry base related)
- Defense Priorities System/Defense Materials System Program
- Program Management Reports

The enclosure expands on these functions and provides a more detailed description.

Encls
Org Chart
Expanded Functions

John E. Roberts, Jr.

JOHN E. ROBERTS Jr . Col USAF
Mtl Asst to Dep. Under Sect.
of Def. R&E (Acqn Pol)

DEPUTY UNDER SECRETARY OF DEFENSE FOR R&E (ACQUISITION POLICY)

DEPUTY UNDER SECRETARY OF
DEFENSE FOR RAE
(ACQUISITION POLICY)
~~ROBERT~~ TRIMBLE (ACTING.)
JOHN E. ROBERTS, COL., USAF, EXEC.
GS-9 NORMA WHITED

DIRECTOR, OFFICE OF
SMALL & DISADVANTAGED
BUSINESS UTILIZATION
ES-4 NORMA POWELL
GS-7 VACANT

DIRECTOR, INTERNATIONAL
ACQUISITION
COL. RON CARLBERG, USAF
GS-15 WALTER HENDERSON
GS-15 MARY STEARN
GS-15 BRUCE KING
L COL. MARK BAKER, USA
GS-7 GERRY LEGINSKI
GS-6 SAROT DELMAN

DIRECTOR, SMALL BUSINESS &
ECONOMIC UTILIZATION POLICY
ES-4 HAL FELSHER
GS-15 STAN TESKO
GS-7 MARY JANE HUDSON

DIRECTOR, DISADVANTAGED
BUSINESS UTILIZATION POLICY
ES-4 ART WILLIAMS
GS-14 HUBERT SHOCZYNSKI
GS-13 TIM FOREMAN
GS-8 MARIAN SNEAD

DIRECTOR, CONTRACTS &
SYSTEMS ACQUISITION
ES-4 ROBERT TRIMBLE
GS-7 SHARON RIGHTEBURG

DIRECTOR, MATERIEL
ACQUISITION POLICY
ES-4 JOHN MITTING
GS-7 BARBARA NEGROW

DIRECTOR, DEFENSE ACQUISITION
REGULATORY SYSTEM
ES-2 JIM BRANNAN
GS-15 VACANT
GS-11 MADGE O'CONNOR
GS-7 MILDRED ASHURST
GS-4 VACANT

DEPUTY DIRECTOR, CONTRACT
PLACEMENT & ADMINISTRATION
ES-1 HERB FISHER, ACTING
GS-15 AL AHEARN
GS-15 THOMAS BELL
O-4 MAJ. RON WRIGHT, USAF
GS-7 MARY BARTON
GS-6 CAROL BERG

DEPUTY DIRECTOR, MAJOR
SYSTEMS ACQUISITION
ES-1 JOHN SMITH
GS-15 TRUXTON BALDWIN
GS-15 DAVE ANDERSON
GS-15 FRED REINHARD
O-4 CAPT. E. F. SPAR, USN
GS-8 GINGER ROBERTS

DEPUTY DIRECTOR, COST
PRICING & FINANCE
ES-2 JOHN KENDIG
GS-15 VACANT
GS-15 DAVID KOONCE (TOY)
GS-15 CHARLES DEARDORFF
O-4 MAJ. BRADY JACOBS,
USAF (TEMP)
GS-7 RACHEL BETHLYN

DEPUTY DIRECTOR, PRODUCTION
RESOURCES
ES-3 RICHARD DONNELLY
GS-15 JED D-BREUIL
GS-15 JOHN OSTERDAY
GS-15 VACANT
GS-8 BETTY CROOK

DEPUTY DIRECTOR,
STANDARDIZATION AND SUPPORT
COL. JUSTIN HOLMES, USA, ACTING
GS-15 DEL BURCHFIELD
GS-15 HOWARD ELLSWORTH
GS-15 MARK GROVE
O-4 COL. BEN SWETT, USAF
GS-7 JO INGRAM
GS-6 ESTHER MOSS

PRODUCT ENGINEERING*
SERVICES OFFICE (PESD)
ROBERT L. BOWELL

DEPUTY DIRECTOR,
FEDERAL ACQUISITION
REGULATION
O-6 JOHN SLINKARD, COL., USAF

DEFENSE INDUSTRIAL
RESOURCES* SUPPORT
OFFICE (DIRSO)
CHARLES P. DOWNER

DEFENSE MATERIEL
SPECIFICATIONS* & STANDARDS
OFFICE (DMSSO)
VACANT

[]

* DLA FIELD ACTIVITIES

30

DETAILED DESCRIPTIONS OF ACQUISITION POLICY FUNCTIONS

Contracts and Systems Acquisition responsibilities include the following and are administered by Contracts and Systems Acquisition Directorate:

Contracts and Systems Acquisition Policy

Develops policies and procedures to govern DoD contracts and system acquisition activities. Assures the effective implementation of these policies within the Military Departments and Defense Agencies.

Weapon Systems Acquisition Support

Assures effective business planning and strategies to support the acquisition of major Defense weapon systems. Participates in the Defense System Acquisition Review Council (DSARC) as to business and acquisition strategy, source selection, type of contract and other procurement related matters. Monitors the development and use of innovative improvements in the techniques and procedures peculiar to weapon system procurement.

DoD Acquisition Regulatory System (DARS)

Develops policies and procedures required in the management and operation of the Defense Acquisition Regulatory System (DARS) as required by DoD Directive 5129.1 of April 29, 1977. Through the Defense Acquisition Regulatory Council (DARC), develops and publishes the Defense Acquisition Regulation (DAR), the successor to ASPR. Acts as the office of primary interest for DoDD 5000.1 and 5000.2 and is the DoD focal point for implementation of OMB Circular A-109.

Enclosure

• Foreign Procurement

Establishes and implements offshore and foreign military sales (FMS) procurement policies and procedures. Recommends revisions as appropriate. Examples include the price differential favoring U.S. firms under the Buy American Act and our balance of payments program and source selection policies for FMS.

• Intergovernmental Agreements

Directs and assures successful implementation and fulfillment of government-to-government agreements such as the U.S. Canada Defense Production Sharing Agreement, reciprocal procurement agreements, offset arrangements and other cooperative programs. Advises organizations such as ASD(ISA), other OSD agencies, foreign governments and U.S. and foreign business firms concerning proposed offset agreements and other government-to-government arrangements whereby foreign sources would participate in DoD procurement.

• Cost Accounting Standards

Establishes, promulgates and evaluates uniform and integrated procurement policies, procedures and systems pertaining to cost accounting standards issued by the Cost Accounting Standards Board and assures proper implementation throughout DoD. Integrates and coordinates DoD procurement, contract administration and auditing policies with respect to cost accounting standards implementation.

• Contract Finance

Manages, directs and develops DoD contract financing policy and monitors its implementation particularly in regard to advance payments, progress payments and loans associated with DoD contracts. Develops advanced financial analysis techniques to assess the financial strength of major Defense contractors.

- Cost and Price Analysis

Develops and implements contract pricing policies, contract cost principles and procedures. This includes cost and price analyses, plus the consideration of the allowability, allocability and reasonableness of contractor's costs. Conceives, develops and implements new techniques for the pricing of weapon systems contracts to avoid under-pricing and the possibility of cost overruns.

- Overhead Cost Management, including IR&D

Provides advice and counsel for cost allowability and business management aspects of the Independent Research and Development program. Directs and leads the development of uniform policies and procedures pertaining to overhead cost allowability, allocability, reasonableness and management. Assures consistent treatment of contractor overhead costs by DoD activities.

- DoD Profit and Investment Policy

Manages and directs the development of DoD profit policy covering negotiated contracts. Assesses the overall level of profits on Defense contracts. Evaluates the effectiveness of DoD profit policies as an incentive for DoD contractors to make capital investments to improve efficiency and productivity of the industry. Directs and takes corrective policy action as appropriate.

- Contract Administration

Establishes, promulgates and evaluates uniform policies and procedures pertaining to the post-award administration of DoD contracts, including inspection, status reporting, shipment, government property and termination. Administers the DoD plant cognizance program--the assignment of contract administration responsibility for certain contractor plants to the Military Departments.

• Career Development

Exercises overall policy responsibility and assures effective management of the DoD procurement career development and procurement research programs and monitors the Federal Procurement Institute.

• Procurement Review

Monitors and evaluates the performance of DLA as the DoD Executive Agent for the Procurement Management Review Program. Under this program, the Military Departments and DLA periodically review the operations of their procurement and contract administration organizations.

• Protests and Appeals

Exercises overall policy responsibility for pre-award bid protests, post-award contractor appeals against contracting officer actions and appeals for extraordinary relief under P.L. 85-804. Monitors the activity of the Armed Services Board of Contract Appeals (ASBCA) that acts for the Secretaries in resolving post-award contract appeals.

• Statistics

Directs the development of management requirements for contracts and system acquisition statistics, the analysis of such statistics and management actions stemming from such analysis.

• Patents, Data, Copyrights and Royalties

Develops policies and provides advice with respect to patents, rights in technical data, copyrights and royalties.

• National Policies

Develops contracting policies and procedures implementing national policies legislated by the Congress, such as energy conservation, pollution control, equal employment opportunity, the Service Contract Act, the Davis-Bacon Act, the Walsh-Healey Public Contracts Act, the Contract Work House and Safety Standards Act, the Fair Labor Standards Act, and others.

Materiel Acquisition Policy responsibilities include the following and are administered by the Materiel Acquisition Policy Directorate:

- Defense Standardization Program

Provides overall OSD staff supervision and policy direction of the management and operation of the Defense Standardization Program in compliance with P.L. 436, and of the operations of the Defense Materiel Specifications and Standards Office.

- DoD Specifications and Standards Control

Provides policy direction for the review, revitalization, and system management of the DoD library of specifications, standards, and other acquisition support components in procurement and design/development activities.

- DoD Specification Tailoring

Establishes policy for, and directs development and implementation of a comprehensive departmental-wide program to assure cost-effective application and deliberate tailoring of DoD specifications and standards.

- Utilization of Industry Documents and Practices

Directs major initiatives to cause a substantial increase in the adoption and use of equivalent industry (non-Government) specifications and standards in the DoD acquisition process. Evaluates compliance and initiates corrective actions. Responds to National policy as promulgated by OFPP/OMB.

- NATO Standardization

Assures development of new DoD-wide initiatives, policies, and guidance in direct support and furtherance of Secretary of Defense and Administration policy on NATO standardization and interoperability. Responsibility pertains to DoD items and material below the major systems level (assemblies, components, spare parts, and material) and provision of a supporting specifications and standards base.

- DoD Metrication

Directs development of overall strategy and planning for the conversion by the Military Services and Defense

Agencies to the metric system of measurement. Develops policy and monitors and assesses compliance. Responds to statutory requirements of P.L. 94-168, "Metric Conversion Act of 1975."

• DoD Reliability and Maintainability

Develops DoD-wide Reliability and Maintainability (R&M) policy, and DoD R&M practices designed to improve effectiveness of Defense Systems, and to reduce overall material costs. Brings military documentation and specifications and standards on R&M into compliance.

• DoD Software Management Plan

Provides policy for, and supervises development and implementation of a DoD-wide Defense Systems Software Management Plan to improve the acquisition, management, and control of computer resources. Advises DSARC regarding embedded computer resources, improves technology base, and attains standardization of programming languages and computer architecture.

• DoD Commercial Commodity Acquisition

Directs a major management effort and alternative acquisition methodology to significantly increase the percentage of Military Services and Defense Agency material requirements to be satisfied through commercial, "off-the-shelf" products. Responds to requirements of OFPP policy and pending legislation. Structures a major DoD policy document covering acquisition of commercial items, and monitoring of implementation.

• DoD Quality Assurance (QA)

Develops and maintains DoD policy in the Quality Assurance area. Directs development of solutions to DoD-wide management and policy problems involving inadequate Quality Assurance, and seeks methods of reducing overall cost of maintaining the DoD Quality Assurance discipline. Directs initiatives to improve the QA career program. Fosters improved NATO programs in the QA area.

• DoD Technical Data Management

Develops and implements policies and procedures to streamline technical data management systems and programs (specifications, standards, drawings, etc.) and controls the application of technical requirement documents and resultant data products.

• Materiel Acquisition Policy

Develops and coordinates R&D management, production management and major system acquisition policy covering programmatic and technical content. Assures uniform and effective application of these materiel acquisition policy areas by the Military Departments and Defense Agencies.

• System Program Transition

Serves as OSD focal point for matters governing the efficient transition of major systems and system modification programs from R&D into production. Directs development of production planning and production readiness directives and instructions.

• Defense Production Engineering Services Office (DPESO)

Develops staff guidance and direction for the production engineering and production management activities performed by DPESO. Sponsors the formation of special task efforts involving production expertise; e.g., use of composites in aircraft systems applications. Coordinates the application of DPESO personnel to production readiness reviews of major systems at limited production and full production milestone decisions in support of the DSARC process.

• Production Management

Assures greater emphasis on production management, and assures that uniform production management practices are followed by DoD components. Develops greater production management expertise within DoD. Furnishes production management expertise for DSARC deliberation and institutionalize production planning/engineering and production assessment concepts throughout the DoD.

The Defense Industrial Base

Maintains cognizance over the Defense production base and conducts industry sector studies to determine those sectors operating below economic efficiency. Establishes policy to promote maintenance of an effective program for identification of diminishing U.S. manufacturing sources and foreign source dependencies. Develops alternative acquisition business strategies and acquisition policies to resolve industrial base problems and promote maintenance of an industrial base that can rapidly and efficiently respond to current and emergency Defense production requirements. Determines the effect of EPA/OSHA requirements on Defense industrial sectors. Provides policy for maintenance of a viable Industrial Preparedness Planning Program.

Industrial Resources Management

Assures that cost-effective industrial resources are available to meet Defense peacetime, surge and emergency production needs. Structures DoD policy to recognize and respond to the dynamic and economics of domestic and international supply and demand for natural and industrial resources to support Defense production. OSD focal point for over \$30 billion of Government property.

Manufacturing Productivity

Develops policy and procedures that will promote adoption of new manufacturing processes, materials and equipment for efficient production of Defense materiel, thereby reducing production leadtimes and acquisition/life cycle costs. In coordination with the Deputy Director (Research and Advanced Technology) promotes greater industry participation in the DoD Manufacturing Program. Initiates policies that will result in greater use of computer technology in the manufacture of DoD materiel.

Strategic Materials

Initiates and guides a DoD program to identify upgraded forms of strategic and critical materials in consonance with Section 302 and 303 of the Defense Production Act of 1950, as amended, to establish or reconstitute materials stockpiles in upgraded forms and overcome critical short falls.

Energy Conservation

Identifies the life cycle energy sensitivity of large-scale usage materials in DoD production programs and requires Service/DLA identification of energy intensive industrial processes. Ensures utilization of manufacturing techniques or production processes which utilize the most cost-effective energy sources.

Strengthen Defense Priorities System/Defense Materials System Program

Requires priority ratings to be based on military urgency, criticality and timeliness of delivery and assures that Special Priorities Assistance is applied only to critical components or systems.

Program Management Reports

Develops criteria and requirements for management reports concerned with major system acquisition program execution. Analyzes management reports and provides assessment of potential impacts or problem areas. Coordinates OSD staff reviews of major system acquisitions.

Planning Review

Coordinates the OSD review of major acquisition system program planning at the Secretary of Defense decision points to insure the status of planning is sufficient to support program decisions. Develops criteria for the required status of planning at key program decision points.

MISSION STATEMENT

DEPUTY UNDER SECRETARY (INTERNATIONAL PROGRAMS AND TECHNOLOGY)

Responsible for providing overall direction for all international research and engineering activities, including cooperation with NATO and other allied nations in defense research, development and weapons acquisition.

Responsible for administering the control of technology export for the Department of Defense by providing the DoD focal point for all activities involving munitions export cases, technology transfer policy and the export to foreign nations of equipment involving critical technology.

Recommends specific cooperative research, development and production policies to meet US/DoD objectives for Rationalization, Standardization and Interoperability and provides programmatic judgments regarding the transfer of technology to foreign nations consistent with national economic, technological, political and military objectives.

Recommends requirements and funding priorities for weapons and systems that have international implications.

Assesses the possibilities for beneficial cooperative R&D programs and insures the development and coordination of same according to worldwide geographical regions of responsibility.

Establishes and fosters strong structural working relationships with key industrial leaders and international representatives including the Council of NATO Armaments Directors and also functions as the key DoD point of contact for US industry, foreign officials and the Congress for all international R&D program initiatives and matters pertaining to the transfer of technology.

Analyzes a wide range of techno-military issues and identifies appropriate technologies requiring export control and insures adequate and timely DoD positions on US export and COCOM (Coordinating Committee) cases.

Formulates the DoD position on export control lists revisions and identifies critical technologies requiring export control in response to Congressional mandates.

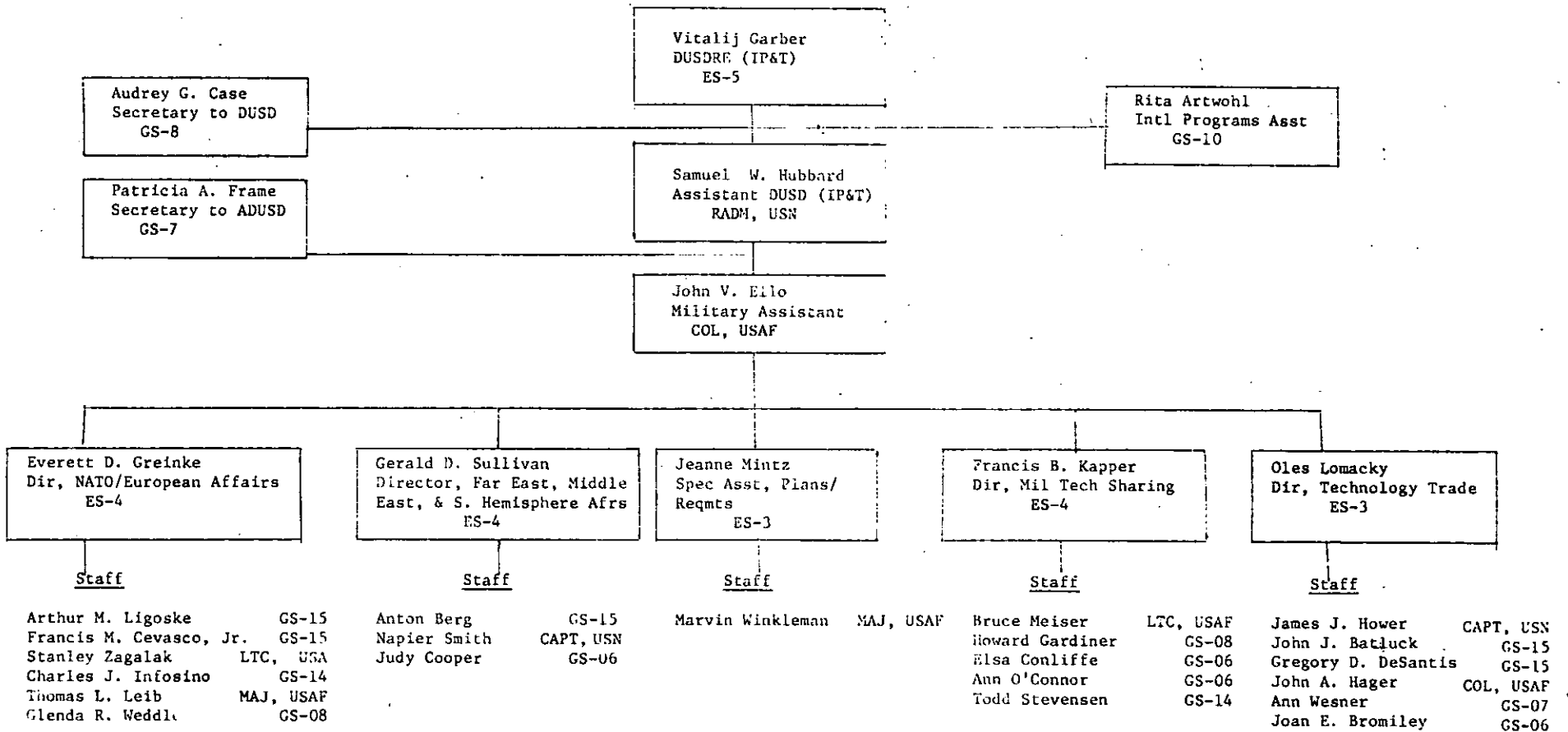
Represents the USDRE on the National Disclosure Policy Committee (NDPC) and provides policy formulation on matters involving military technology sharing, including munitions and foreign ownership.

BUDGET FOR IP&T

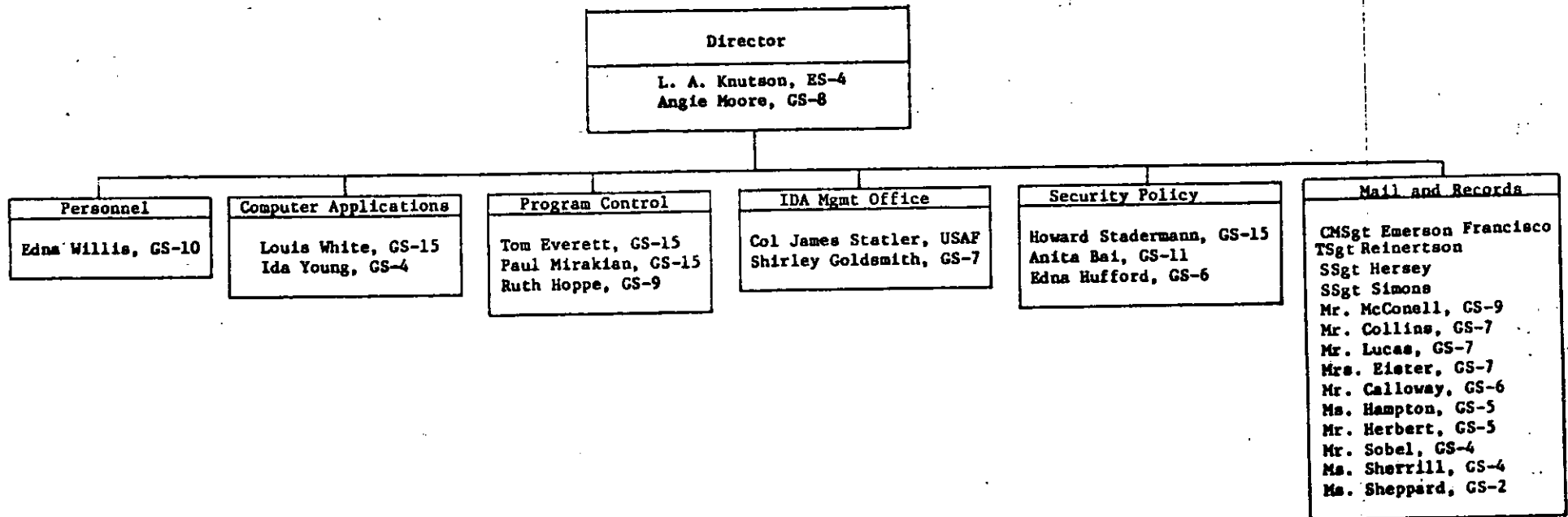
(\$ in millions)

	<u>FY 1980</u>	<u>FY 1981</u>
RDT&E (65104D)	2.5M	2.0M

INTERNATIONAL PROGRAMS AND TECHNOLOGY



PROGRAM CONTROL AND ADMINISTRATION



December 1980

FUNCTIONS

PROGRAM CONTROL AND ADMINISTRATION

General

- a. Point of contact with Comptroller and control for OUSDRE GAO cases.
- b. Point of contact with General Counsel and responsible for establishing DoD position on new legislative proposals.
- c. Coordination and control of DoD Instructions and Directives.
- d. Point of contact with Comptroller on Internal Audits affecting OUSDRE.
- e. Control and coordination of all Congressional Actions Items and reports.
- f. Prepares OUSDRE Congressional Back-up and coordinates preparation of R&D portion of SecDef Back-up.
- g. Point of contact with Legislative Affairs on special Congressional requests for information.
- h. Controls and reviews OUSDRE Congressional Transcripts.
- i. Travel Funds - Office Supplies - Publications - Office Space and Equipment

Program Control

- a. Central control office in DoD for RDT&E and Procurement program matters.
 - b. Controls deferral and release of Operating year funds.
 - c. Controls office assignment of program elements.
 - d. Processes reprogramming requests.
 - e. Designs procedures and implement Budget and Apportionment Reviews for RDT&E and Procurement.
 - f. Point of contact with Comptroller for operation and modification of PPBS system.
 - g. Maintains DCP numbering and filing system for SecDef and DepSecDef.
 - h. Point of contact with Comptroller for processing and coordinating DPS's.
 - i. Provides statistical data, charts, vugraphs, etc. for management purposes.
 - j. Point of contact with National Science Foundation for DoD RDT&E statistical data.
 - k. Designs and implements review of R&D Military Construction program.
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1. Point of contact with Comptroller and MRA&L for processing and coordinating Military Construction apportionment requests, Minor Construction requests and Industrial Facility projects.

m. Point of contact with MRA&L on all R&D manpower matters.

n. Maintains R&D Civilian and Military manpower data.

o. Coordinates review and development of Congressional Appeal actions.

p. Point of contact with Military Departments and Defense Agencies on RDT&E and Procurement program matters.

q. Consultant to OUSDRE offices on budgeting procedures, Fiscal Matters, Inflation Factors and program status.

r. Maintains master files and distributes budget back-up material, technical information (1634s) and OUSDRE Program Guidance (Budget Guidance and Format I's).

s. Program Element responsibility for all general purpose support elements and Technical Review responsibilities for General Purpose Mil Con projects.

Computer Applications

a. Designs systems - Programs - Key punches and makes ADP runs of DoD RDT&E and Procurement programs for use by OUSDRE offices, Services, Comptroller, OMB and Congressional staffs.

b. Programs include arranging POM, Apportionment and Budget RDT&E data by Component, Mission Area, OUSDRE organization, Budget Activity, Magnitude and other specified breaks.

c. Operates Remote CRT site connected with DDC computer to retrieve data for OUSDRE staff for following data banks - 1498s, 1634s, IR&D. Liaison with DDC on acquisition of hard copies of TEch Reports. Secure site for on-line hook-up with Air Force Computer Center in process of construction.

Security Policy and Review

a. Central control point for processing all Congressional Transcripts involving USDRE or his staff.

b. Point of contact with Public Affairs for processing all R&D related Security Review cases.

c. Point of contact with Public Affairs for processing all Freedom of Information cases.

d. Central control and responsible for reporting on all OUSDRE committees and panels.

e. Responsible for annual review of OUSDRE directives and instructions.

f. Responsible for processing clearance requests for OUSDRE speeches and documents.

g. Responsible for Graphics, Printing and Distribution of Congressional Statements--and other speeches.

h. Responsible for production of unclassified Congressional Statement.

i. Maintains library of statements, speeches, Congressional Hearings, Reports, etc. Responsible for internal and external distribution.

j. Answers numerous letters from public and Congress requesting information on inventions, procurement procedures, copies of statements, etc.

k. Maintains historical file and is point of contact with Services on repeat inventors and cranks.

l. Central Control and responsible for processing requests for waivers and parole of foreign scientists.

m. Processes DIA requests for documents to be distributed to foreign governments and requests for visits of foreigners.

n. Recipient and processes Royalty checks for OSRD reports.

o. Liaison with Comptroller on all Security Policy actions involving OUSDRE.

p. Central control point for all DoD Scientific Conferences and Symposia. Distributes complete schedule throughout DoD and Industry bi-monthly.

Personnel

a. Civilian and Military Personnel Functions

b. Training Programs

c. Office Orders

d. Awards

e. Processing of Security Violations

f. Office Directories

Mail and Records

OFFICE OF THE
DEPUTY UNDER SECRETARY OF DEFENSE
FOR RESEARCH AND ENGINEERING
(RESEARCH AND ADVANCED TECHNOLOGY)

--MISSION STATEMENT--

Responsible for overall management of the science and technology (S&T) programs of the Department of Defense, and for related activities such as manufacturing technology and monitorship of the Defense in-house laboratories and Federal Contract Research Centers. Specific activities include:

- o Necessary policy and programmatic actions to enable the U.S. to maintain a sufficient military technology lead over potential U.S. adversaries.
- o Primary responsibility for appropriate and adequate participation by the academic community and the U.S. industrial base in the DoD S&T Program.
- o Ensuring the timely interaction needed between the national scientific and technical intelligence community and the DoD S&T community.
- o Serving as the DoD interface with the Government-wide S&T community to include, as appropriate, the President's Office of Science and Technology Policy.
- o Representing DoD on international defense S&T matters and bodies, in conjunction with the Deputy Under Secretary of Defense for International Programs and Technology.
- o Taking the lead in DoD for the timely generation and usage of Scientific and Technical Information (STI).

OFFICE OF THE
DEPUTY UNDER SECRETARY OF DEFENSE
FOR RESEARCH AND ENGINEERING
(RESEARCH AND ADVANCED TECHNOLOGY)

--PROFESSIONAL STAFF--

Deputy Under Secretary of Defense for
Research and Engineering (R&E)--
Dr. George P. Millburn (Acting)

Technical Assistant -- Dr. George P. Millburn, SES-4
Military Assistant -- Colonel T. R. Hukkala, USA
Special Assistant -- Mr. James H. Terrell, GS-15

Director of Environmental and
Life Sciences -- Colonel E. W. Friday

Chemical Technology -- Mr. Thomas Dashiell, SES-4
Medicine & Life Sciences -- Colonel P. E. Winter, USA
Personnel & Training Technology
-- Commander P. R. Chatelier, USN

Director of Electronics and Physical
Sciences -- Dr. Joseph Feinstein, SES-4

Computer/C² -- Mr. Joseph C. Batz, GS-15
Electronic Warfare & Target Acquisition
-- Dr. Samuel A. Musa, SES-3
Electron Devices & Integrated Circuits
-- Mr. Larry Sumney, SES-2
Search & Surveillance -- Dr. John MacCallum, SES-2

Director of Engineering Technology
-- Mr. Gershom R. Makepeace, SES-4

Aeronautical -- Mr. Raymond Siewert, SES-4
Guided Weapons -- Mr. George Kopcsak, GS-15
Materials & Structures -- Mr. Jerome Persh, SES-4
Ordnance -- Mr. Ray Thorkildsen, SES-4
Vehicular Propulsion -- Mr. Raymond Standahar, SES-4

Director of Directed Energy Programs
-- Dr. J. Richard Airey, SES-4

Deputy -- Colonel F. S. Holmes, Jr., USA

Director of Research
-- Dr. George Gamota, SES-4

Assistant for Manufacturing Technology
-- Dr. Lloyd L. Lehn, GS-15

OFFICE OF THE
 DEPUTY UNDER SECRETARY OF DEFENSE
 FOR RESEARCH AND ENGINEERING
 (RESEARCH AND ADVANCED TECHNOLOGY)

Authorized Strength:

18 - P
 5 - O
 11 - S
34 TOTAL

--ORGANIZATIONAL CHART--

Research and
 Advanced Technology

3-P
 1-O
 3-S

ENVIRONMENTAL AND
 LIFE SCIENCES

1-P
 3-O
 2-S

ENGINEERING
 TECHNOLOGY

6-P
 2-S

ELECTRONICS AND
 PHYSICAL SCIENCES

5-P
 2-S

DIRECTED ENERGY
 PROGRAMS

1-P
 1-O
 1-S

RESEARCH

1-P
 1-S

MANUFACTURING
 TECHNOLOGY

1-P

Legend:

P: Civilian Professional
 O: Military Officer
 S: Civilian Secretary

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OFFICE OF THE
DEPUTY UNDER SECRETARY OF DEFENSE
FOR RESEARCH AND ENGINEERING
(RESEARCH AND ADVANCED TECHNOLOGY)

--BUDGET RESPONSIBILITIES--
(Dollars in Millions)

	<u>Budget Category</u>	<u>FY 80</u>	<u>FY 81</u>
<u>Research</u> : The basic research program performed by universities, in-house laboratories and industry.	6.1	\$ 466	\$ 547
<u>Exploratory Development</u> : The applied research program performed by universities, in-house laboratories and industry.	6.2	1,170	1,382
<u>Advanced Development</u> : Primarily the non-system technology demonstrations portion of this category.	6.3	615	635
<u>Engineering Development</u> : Chemical warfare, non-system training devices, medical equipment, aeronautical life support equipment and production aircraft engine improvements.	6.4	252	382
<u>Management and Support</u> : DoD-wide Scientific and Technical Information (STINFO), Service studies and analyses, and munitions safety, standards, etc.	6.5	79	87
<u>Operational Systems Development</u> : Propulsion testing, flight test support, meteorological support, and laboratory support to the fleet.	—	12	13
<u>Manufacturing Technology</u> : Demonstration of generic technologies to increase productivity of the industrial base.	7.8	<u>156</u>	<u>155</u>
	TOTAL	\$2,750	\$3,201

- NOTES: 1. The above programs are "clustered" into 27 technical areas such as directed energy, aeronautical vehicles, chemical warfare, electronic devices, electronic warfare, ocean vehicles, etc.
2. In addition, the DUSD(R&AT) monitors production programs on chemical warfare and meteorological equipment (about \$75 million per year).
3. Also the DUSD(R&AT) is the OSD office responsible for meteorological services. This O&M budget approximates \$300 million per year.

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MISSION STATEMENT

DEPUTY UNDER SECRETARY (STRATEGIC AND SPACE SYSTEMS)

Responsible for formulation of all technical and programmatic aspects of the spectrum of strategic and space activities including Strategic Offense (land-based, sea-based, and air breathing), Strategic Defense, and Space Systems.

Reviews, analyzes, and evaluates all DoD research, development and acquisition programs for Strategic Offense, Strategic Defense, and Space Systems.

Manages preparation of an overall plan for allocation of development and acquisition resources among the Strategic Offense, Strategic Defense, and Space System programs.

Reviews DCPs and MENS for development activities in the Strategic Warfare mission areas.

Reviews development, prototype, and full scale production activities conducted for Strategic Warfare and Space Systems.

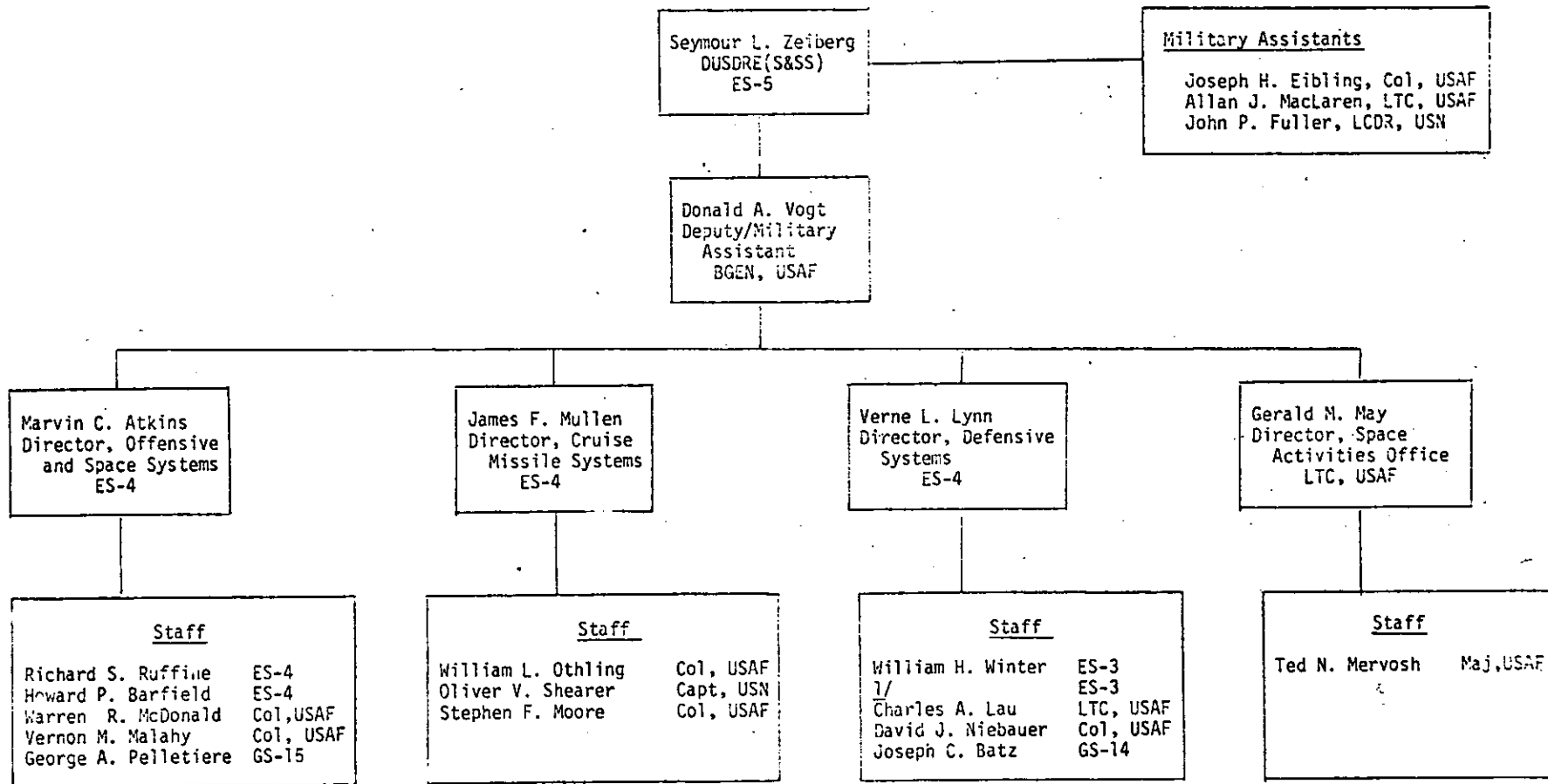
Recommends revisions to specific program DCPs or to the programs being pursued under the authority thereof.

Recommends a budget and apportionment of appropriated funds for Strategic Warfare and Space Systems development and acquisition activities.

Manages other related programs and non-strategic programs specifically assigned (currently includes SLCM, GLCM, and C-X).

BUDGETS FOR S&SS PROGRAM (\$B)

	<u>FY 1980</u>	<u>FY 1981</u>
RDT&E	2.5	3.8
PROCUREMENT	4.6	5.1



1/ Position under active recruitment

Deputy Under Secretary of Defense for Research and Engineering

(Tactical Warfare Programs)

The Deputy Under Secretary (Tactical Warfare Programs) has responsibility for the research, development and acquisition of programs relating to General Purpose Forces. These programs involve a broad range of technologies including ships, submarines, aircraft, tanks, guns, and guided missiles. The functions of this position are as follows:

Plans, reviews, and controls all DoD development and procurement programs for Tactical Warfare Systems.

Prepares an overall plan for allocation of development and procurement resources among the various major mission areas of land warfare, naval warfare, air warfare, theater nuclear forces, and mobility forces.

Examines and studies the needs of the armed forces in the major mission areas to determine the optimum choice for the initiation of new programs.

Recommends programs and budgets under the PPBS system for tactical warfare development and procurement activities.

Manages the acquisition process for tactical programs including the review and recommendation for approval of Mission Element Need Statements, Decision Coordinating Papers, Secretary of Defense Decision Memorandums. Monitors program cost, schedule, and performance status and conducts program reviews as required.

Directs a staff organized into three line offices (Land Warfare, Naval Warfare and Air Warfare) and a support office with a total staff of 34 professional and 14 non-professional employees.

Interfaces directly with Congressional staff members to provide details on DoD requested programs and testifies at Committee hearings.

USDR&E (TWP) PORTION OF THE BUDGET

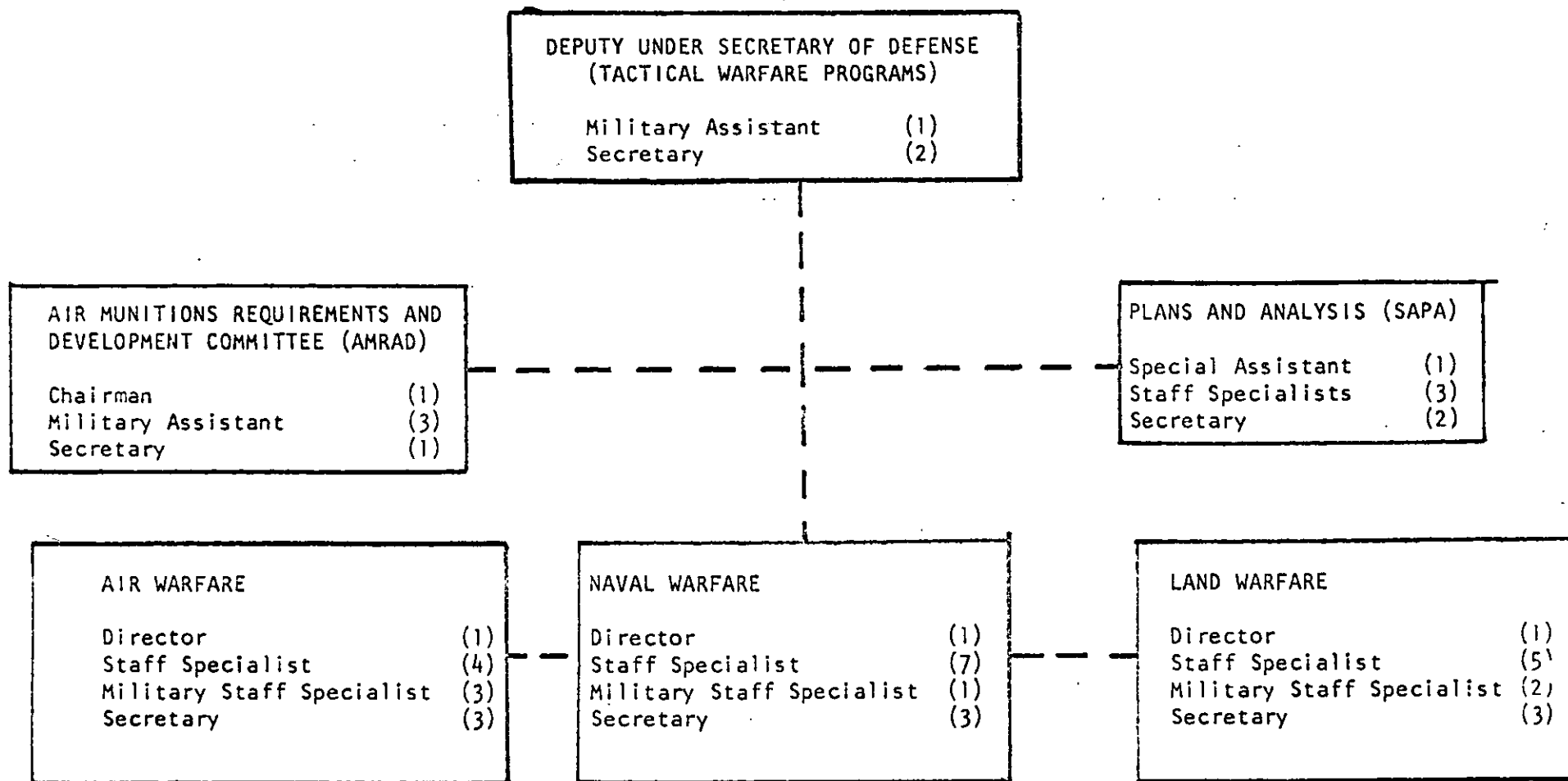
	<u>R&D.</u>	<u>PROCUREMENT</u>
FY80	\$3.9B	\$22.6B
FY81	\$3.9B	\$24.9B

TWP PROFESSIONAL STAFF

<u>DIVISION</u>	<u>NAME AND GRADE</u>	<u>TITLE</u>	<u>AREA OF RESPONSIBILITY</u>
SAPA	DR. MILTON MINNEMAN, SES IV	SPECIAL ASSISTANT, PLANS AND ANALYSIS	
SAPA	MR. FRED WARD, GS-13	COMPUTER SYSTEMS ANALYST	PPBS, CONGRESSIONAL REPORTS
SAPA	DR. DAVID STEFANYE, GS-15	PHYSICAL SCIENTIST, GENERAL ENGINEER	TNF, ISRAEL RESEARCH AND DEVELOPMENT
SAPA	MR. STANLEY GAWLIK, GS-13	STAFF ASSISTANT	PROGRAM MANAGEMENT, STUDIES, PLANNING
AIR WARFARE	DR. JOHN TRANSUE, SES IV	DIRECTOR, AIR WARFARE	
AIR WARFARE	COL WILLIAM SCHEUREN, USMC	MILITARY ASSISTANT TO DIRECTOR	STAFF SPECIALIST FOR MOBILITY
AIR WARFARE	MR. MARTIN CHEN, SES I	STAFF SPECIALIST	INTERDICTION/NAVAL STRIKE
AIR WARFARE	MR. MIKE FITZGIBBON, GS-15	STAFF SPECIALIST	ATTACK AIRCRAFT AND TARGET ACQUISITION
AIR WARFARE	MR. DEAN GISSENDANNER, GS-15	STAFF SPECIALIST	PROPULSION SYSTEMS
AIR WARFARE	COL CHARLES HANSULT, USAF	MILITARY STAFF SPECIALIST	AIR TO AIR MISSILES, DEFENSE SUPPRESSION
AIR WARFARE	CAPT DON BOECKER, USN	MILITARY STAFF SPECIALIST	FIGHTER AIRCRAFT
AIR WARFARE	DR. CHARLES WILLIAMS	STAFF SPECIALIST	CLOSE AIR SUPPORT, BATTLEFIELD INTERDICTION

* ON LOAN TO OUSD(R&E)TWP

TWP ORGANIZATIONAL CHART



Attachment

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DIVISION	NAME AND GRADE	TITLE	AREA OF RESPONSIBILITY
NAVAL WARFARE	MR. WILLIAM O'NEIL, SES IV	DIRECTOR, NAVAL WARFARE	
NAVAL WARFARE	MR. DAVID ANDERSON, SES III	STAFF SPECIALIST	ANTI-SUB WARFARE, ELECTROMAGNETIC SYSTEMS, PLANNING & PRIORITIES
NAVAL WARFARE	DR. EDWARD MCKINNEY, SES III	STAFF SPECIALIST	UNDERSEA SURVEILLANCE, NAVAL MINE WARFARE, UNDERSEA WEAPONS
NAVAL WARFARE	CAPT JOHN PETERS, USN	MILITARY STAFF SPECIALIST	SUBMARINE WARFARE, PPBS
NAVAL WARFARE	MR. JOHN MCGOUGH, GS-15	STAFF SPECIALIST	SHIPBUILDING, AMPHIBIOUS WARFARE, MULTI-MISSION SHIPS, ENERGY ELECTRICAL/MECHANICAL COMPONENTS
NAVAL WARFARE	DR. CHARLES KINCAID, GS-15	STAFF SPECIALIST	ANTI-AIR WARFARE, NAVAL WARFARE SUPPORT, TAC NUC WEAPONS
NAVAL WARFARE	MR. THOMAS AMRHEIN, GS-15 (ON TRAINING ASSIGNMENT UNTIL DECEMBER 15)	STAFF SPECIALIST	ANTI-SURFACE WARFARE, OVER THE HORIZON TARGETING, CRUISE MISSILES
NAVAL WARFARE	MR. JOSEPH FAULKNER, GS-15	TRAINEE (FROM NAVY)	ASW SENSORS, FIRE CONTROL AND WEAPONS
NAVAL WARFARE	MS. DONNA KULLA, GS-11	TRAINEE (FROM NAVY)	P-3, VPX, PROTOTYPE PROGRAM (JCAPP)
LAND WARFARE	MR. CHARLES BERNARD, SES IV	DIRECTOR, LAND WARFARE	
LAND WARFARE	COL CHARES GARVEY, USA	MILITARY ASSISTANT	CLOSE COMBAT/LOGISTICS, MECHANIZED VEHICLES, INFANTRY WEAPONS, ANTI-ARMOR

<u>DIVISION</u>	<u>NAME AND GRADE</u>	<u>TITLE</u>	<u>AREA OF RESPONSIBILITY</u>
LAND WARFARE	MR. CYRIL HORTON, SES IV	STAFF SPECIALIST	CLOSE COMBAT, AERONAUTICAL ENGINEERING, ARMOR, MECHANIZED VEHICLES
LAND WARFARE	MR. MYRON BRUNS, GS-15	STAFF SPECIALIST	CONVENTIONAL AMMUNITION
LAND WARFARE	MR. GUNTIS SRADERS, GS-15	STAFF SPECIALIST	BATTLEFIELD SURVEILLANCE/AIR MOBILITY, ELECTRONICS, HELICOPTERS
LAND WARFARE	LTCOL CLETUS KUHLA, USAF	MILITARY ASSISTANT	PHYSICAL SECURITY SYSTEMS
LAND WARFARE	MR. JOHN REIF	ASSISTANT STAFF SPECIALIST	CONVENTIONAL AMMUNITION
LAND WARFARE	(VACANT, GS-14/15)	STAFF SPECIALIST	FIRE SUPPORT
LAND WARFARE	(VACANT, SES I)	SENIOR STAFF SPECIALIST	GROUND AIR DEFENSE
AMRAD	CAPT DONALD WILSON, USN	CHAIRMAN	
AMRAD	COL ERNEST EVANS, USMC	MARINE CORPS REP.	
AMRAD	COL ALAN WALKER, USAF	AIR FORCE REP.	
TWP	MR. DAVID HARDISON, SES IV	DEPUTY UNDER SECRETARY	
TWP	COL DONALD COUTURE, USAF	MILITARY ASSISTANT TO THE DEPUTY UNDER SECRETARY	GENERAL SUPPORT AS REQUIRED

TWP NON-PROFESSIONAL STAFF

<u>DIVISION</u>	<u>NAME</u>	<u>GRADE</u>
TWP	MELANIE BERNARD	GS-09
TWP	ANNETTE GWENSBERG	GS-07
SAPA	PEGGY WOLF	GS-07
SAPA	VACANT	GS-06
AIR WARFARE	IRENE BACON	GS-07
AIR WARFARE	ROBERTA MCCALL	GS-06
AIR WARFARE	JANICE LOVITT	GS-06
NAVAL WARFARE	CAROL KEEFE	GS-07
NAVAL WARFARE	BONNIE MAY	GS-06
NAVAL WARFARE	SANDRA HARVEY	GS-06
LAND WARFARE	MARGO POTTER	GS-07
LAND WARFARE	ANN SIEDEL	GS-06
LAND WARFARE	VACANT	GS-06
AMRAD	LAVONNE TART	GS-07

MISSION STATEMENT

DIRECTOR DEFENSE TEST AND EVALUATION

Review T&E policy and procedures applicable to the Department of Defense as a whole and recommend changes to the Secretary of Defense.

Coordinate T&E instructions to the DoD Components and resolve T&E management problems between DoD Components.

Monitor the T&E planned and conducted by the DoD Components for major acquisition programs and for other programs, as necessary.

Manage the consideration and review of TEMPs within OSD, and review and comment on system T&E aspects of DCPs and other documents concerned with system acquisition T&E.

For major system acquisition programs, provide to the Defense Acquisition Executive, the Defense System Acquisition Review Council (DSARC), the Worldwide Military Command and Control System Council, as appropriate, and the Secretary of Defense an assessment of the adequacy of testing accomplished, an evaluation of test results, and an assessment of the adequacy of testing planned for the future to support system acquisition milestone decisions.

Initiate and sponsor technically and operationally oriented JT&E with specific delegation to appropriate DoD Components of all practical JT&E aspects.

Fulfill OSD responsibilities for the Major Range and Test Facility Base (MRTFB) in accordance with DoD Directive 3200.11.

Monitor, to the extent required to determine the applicability of results to system acquisitions or modifications, that T&E:

Directed by the JCS that relates to the Single Integrated Operational Plan (SIOP) as it affects system technical characteristics.

Conducted primarily for development or investigation of tactics, organization, or doctrinal concepts that affect system technical characteristics.

Review those program elements that relate to DoD Component independent test agency, test facility, and test resource budgets.

Source: DODD 5000.3 dtd 26 Dec 1979

DIRECTOR DEFENSE TEST AND EVALUATION

BUDGET

FY 1980

FY 1981

42.5

42.1



OFFICE UNDER SECRETARY DEFENSE RESEARCH AND ENGINEERING

DIRECTOR DEFENSE TEST AND EVALUATION

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 Executive Assistant
 LTC Frank H. Tubbesing, Jr. 54608 Foreign Weapons Evaluation
 Kay McAllister 57171
 3E1060

Deputy Director for Tactical Air
and Land Warfare Systems

BG Eugene Fox	54421	Deputy Director
Mrs Miriam Harrison	54421	Secretary
Col Marvin Garrison	57245/6/7	Joint T&E
Col Ralph Anderson	57245/6/7	Air Defense
Col Joseph Spiers	57245/6/7	TAC S-A Weapons
Capt Jack Calvert	57245/6/7	TAC Aviation
LTC Edward Robinson	74812	Helios/Armor
LTC Robert Demont	74812	Armor
LTC Robert Rahn	57245/6/7	Elec Warfare
Mr James Rogers	74812	Rel & Maint
Miss Janet Myers	57245/6/7	Secretary
Miss Lois Ruff	74812	Secretary

Room 3D1043

Deputy Director for Strategic
and Naval Warfare Systems

Mr Charles Watt	57175	Deputy Director
Mrs Gail Greene	57175	Secretary
Mr Donald Greenlee	57176/7	Strat C3I Systems
Mr Gene Thompson	57176/7	Surface Warfare
Dr Dave Anderson	57176/7	Space Support
Mr Don Wood	57176/7	TAC C3I
CDR Boyd Steele	57176/7	ASW/Mine/Submarine
LTC Bob Christopher	57175/6/7	Strategic A/C, Missiles
Miss Cathy Thacker	57175/6/7	Secretary

Room 3D973

Deputy Director for Test
Facilities and Resources

Mr William Richardson	74818	Deputy Director
Mrs Ann Powell	74818	Secretary
Mr Richard Ledesma	74813/9	Army Test Resour
		International Ra
		Support
Mr James Cowgill	74819/70470	Navy Test Resour
		Aerial Targets
Mr Howard Elmore	74813/70470	Air Force Test
		Resources
Mr Charles Karns	74819/3	DDTE Appropriat
Mrs Mary Lou Tennant	74813/9	Secretary

Room 3D1031

13 November 1980

MISSION AND CHARTER OF THE DEFENSE ADVANCED RESEARCH PROJECTS AGENCY

The Defense Advanced Research Projects Agency was formed in early 1958, just a few months after the launching of the first Sputnik, to provide insurance against any future technological surprise. In proposing the Agency, Neil McElroy, then Secretary of Defense, testified that its purpose was to facilitate a quicker operational result for advanced technologies and to provide a general agency for exploring some highly speculative types of possible weapon systems. DARPA remains active in this role today and helps to provide new technological concepts and options to the Services. DARPA also serves as the corporate research staff of the Secretary of Defense and has a broad charter to take on tasks to achieve priority scientific objectives.

Department of Defense Directive 5105.41 sets forth the DARPA Charter as follows:

Provide for the conduct of basic and applied R&D of advanced projects as may be designated by Under Secretary of Defense for Research and Engineering

- Recommend to SECDEF assignment of R&D projects to ARPA
- Place funded work orders with DoD components
- Establish for DARPA and military departments such procedures required to perform work
- Engage in assigned advanced R&D projects
- Keep DDR&E, JCS and Services informed of new developments, technical advances

DARPA RDT&E BUDGET

(Direct Appropriation)

(\$ Millions)

FY 1980

455

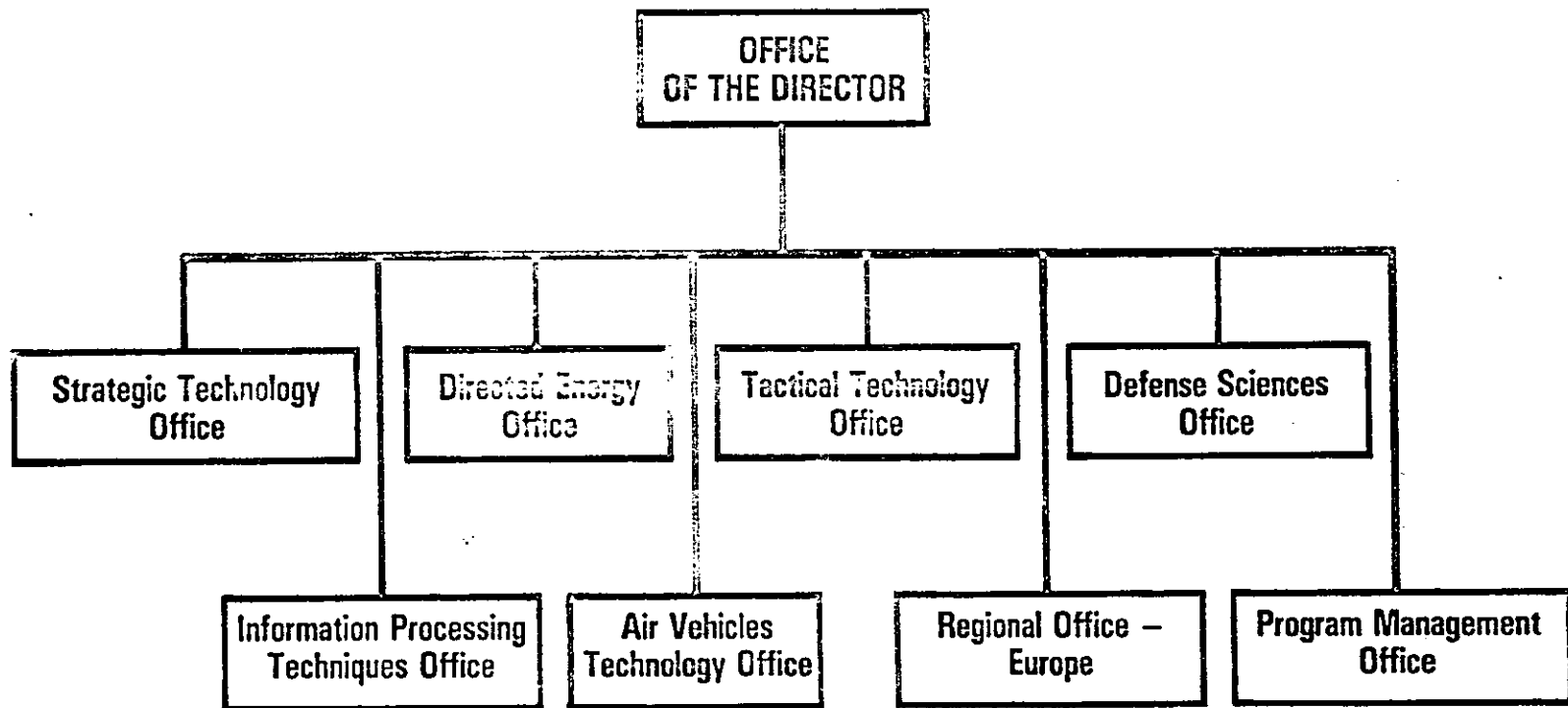
FY 1981

572

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UNCLASSIFIED

DARPA's ORGANIZATION



UNCLASSIFIED

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DEFENSE ADVANCED RESEARCH PROJECTS AGENCY (DARPA)
1400 Wilson Blvd., Arlington, VA 22209

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November 1980

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LtCol Allen Herzberg, USAF 953 41702
Maj Edward R. Dieck, USAF 957 41702
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Miss Rhonda Culver 940 41571

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Mr. Robert M. Glaze 913 4361
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Dr. John R. Bayless 905 4361
LtCol Rettig P. Benedict, Jr., USAF 927 4371
LtCdr William E. Wright, USN 903 4170
Ms. Eileen Peach 919 4378

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Dr. Robert Sepucha (Actg Asst Dir) 929
Col Ronald F. Prater, USAF 925
Dr. Donald C. Winter 917 43
Ms. Gussie Hopkins 919 4371

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Dr. James A. Tegnella (Dep Dir) 1007 426
Mrs. Denise J. Hancotte 1003 429
Mrs. Natalie D. Shideler 1012 425

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Dr. Theo Kooij 1027 436
Mr. Basil Papadales 1023 415
Capt Karl M. Duff, USN 510 412
Cdr Robert C. Bartlett, USN 1035 418
Dr. Arthur J. Bruckheim 1025 417
Mrs. Florence McCafferty 510 412
Mrs. Nancy Robinson 1031 427
Miss Phyllis A. Pina 1031 427

WEAPONS TECHNOLOGY AND CONCEPTS

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Dr. Raymond P. Gogolewski 1015 483
Dr. Allen R. Atkins 1014 487
Mrs. Shirley A. Perkins 1017 483
Mrs. Joann Mathis 1017

TARGET ACQUISITION AND ENGAGEMENT

Mr. Nicholas J. Willis (Asst Dir) 1013
LtCol Thomas W. Swartz, USAF 1005 429
Ms. Cynthia Fritzingar 1010 426

AIR VEHICLES TECHNOLOGY OFFICE

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Mrs. Dorothy Orr 1055 435
Mrs. Judy Love 1053 43

MANNED AIRCRAFT

LtCol James W. Allburn, USAF 1051 435
Mrs. Maureen B. Origlio 1050 43

UNMANNED AIRCRAFT

LtCol Richard S. Baly, USAF 1044 435
Mr. Donald Elder 1045 435
Cdr Donald L. Finch, USN 1041 435
Ms. Nancy Kahn 1043 435

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Ambulance 527-8900
Guard 42336

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Col Raymond G. Schwartz, USAF (Dep Dir) 6272
VNGS Stephen Lubarsky 6272

Code
Pages 45



June 8, 1978
NUMBER 5105.41

ASD(C)

Department of Defense Directive

SUBJECT Defense Advanced Research Projects Agency (DARPA)

Reference: (a) DoD Directive 5105.41, "Defense Advanced Research Projects Agency," March 23, 1972 (hereby canceled)

A. PURPOSE

Pursuant to the authority vested in the Secretary of Defense under the provisions of title 10, United States Code, this Directive reissues reference (a) and establishes the Defense Advanced Research Projects Agency (hereafter referred to as "DARPA") with responsibilities, functions, authorities and relationships as outlined below.

B. MISSION

DARPA shall manage and direct the conduct of selected advanced basic and applied research and development projects for the Department of Defense.

C. ORGANIZATION AND MANAGEMENT

DARPA is established as a separate agency of the Department of Defense under the staff and operational direction of the Under Secretary of Defense for Research and Engineering. It shall consist of a Director and such subordinate organizational elements as are established by the Director within resources authorized by the Secretary of Defense.

D. RESPONSIBILITIES AND FUNCTIONS

The Director, DARPA shall:

1. Organize, direct, and manage the DARPA and all resources assigned to the DARPA.
2. Provide guidance and assistance, as appropriate, to all DoD Components and other U.S. Government activities on matters pertaining to the projects assigned to the DARPA.

3. Recommend to the Secretary of Defense, through the Under Secretary of Defense for Research and Engineering, the assignment of research projects to DARPA.

4. Arrange for the performance of and supervise the work connected with DARPA projects assigned to the Military Departments, other U.S. Government activities, individuals, private business entities, educational institutions, or research institutions, giving consideration to the primary functions of the Military Departments.

5. Engage in assigned advanced research projects.

6. Keep the Under Secretary of Defense for Research and Engineering, the Military Departments, the Joint Chiefs of Staff, and other DoD Agencies informed, as appropriate, on significant new developments, breakthroughs, and technological advances within assigned projects and on the status of such projects in order to facilitate early operational assignment.

7. Prepare and submit to the Assistant Secretary of Defense (Comptroller), in accordance with established procedures, the DARPA annual program-budget estimates, to include the assignment of appropriation program priorities.

8. Perform such other functions as may be assigned by the Under Secretary of Defense for Research and Engineering.

E. AUTHORITY

The Director, DARPA, is specifically delegated authority to:

1. Place funded work orders with the Military Departments and other DoD Components or directly with subordinate echelons of the Military Departments, after clearance with the Secretary of the Military Department concerned.

2. Authorize the allocation, as appropriate, of funds made available to DARPA for assigned advanced projects.

3. Establish for DARPA, the Military Departments, and other research and development activities, such procedures required in connection with work being performed for DARPA consistent with policies and instructions governing the Department of Defense.

4. Acquire or construct, through a Military Department or other U.S. Government agency, such research, development, and test facilities and equipment required to carry out his assignments and that may be approved by the Secretary of Defense in accordance with applicable statutes and DoD Directives.

5. Exercise the administrative authorities contained in Enclosure 1 of this Directive.

F. RELATIONSHIPS

1. In the performance of his functions, the Director, DARPA, shall:

a. Coordinate actions, as appropriate, with the other Components of DoD having collateral or related functions in the field of his assigned responsibility.

b. Maintain active liaison for the exchange of information and advice in the field of his assigned responsibility with all DoD Components, non-DoD research and development institutions (including private business entities), educational institutions, and other U.S. Government activities.

c. Make full use of established facilities in the Office of the Secretary of Defense, other DoD Components, and other Governmental agencies rather than unnecessarily duplicating such facilities.

2. Officials of all DoD Components will provide support, within their respective fields of responsibility, to the Director, DARPA as may be necessary to carry out the assigned responsibilities and functions of his Agency.

G. ADMINISTRATION

1. The Director, DARPA, shall be a civilian selected by the Secretary of Defense.

2. DARPA shall be authorized such personnel, facilities, funds, and other administrative support as the Secretary of Defense deems necessary.

3. The Military Departments shall assign personnel to DARPA in accordance with approved authorizations and procedures for assignment to joint duty.

4. Administrative support required for DARPA will be provided by the Director, Washington Headquarters Services, and other DoD Components, as appropriate.

H. EFFECTIVE DATE

This Directive is effective immediately.

Enclosure - 1
Delegations of Authority



Deputy Secretary of Defense

DELEGATIONS OF AUTHORITY

Pursuant to the authority vested in the Secretary of Defense, and subject to his direction, authority, and control, and in accordance with DoD policies, directives, and instructions, the Director, DARPA, or, in the absence of the Director the person acting for him, is hereby delegated authority as required in the administration and operation of DARPA to:

1. Designate any position in DARPA as a "sensitive" position, in accordance with the provisions of the Act of August 26, 1950, as amended (5 USC 7532); Executive Order 10450, dated April 27, 1953, as amended by Executive Orders 10491, 10531, 10458, 10550, and DoD Directive 5210.7, dated September 2, 1966.

2. Authorize and approve overtime work for DARPA civilian officers and employees in accordance with the provisions of the Federal Personnel Manual Supplement 990-1, section 550.111.

3. Authorize and approve:

a. Travel for DARPA civilian officers and employees in accordance with the Joint Travel Regulations, Volume 2, Department of Defense, Civilian Personnel;

b. Temporary duty travel only for military personnel assigned or detailed to DARPA in accordance with the Joint Travel Regulations, Volume I, Members of the Uniformed Services; and

c. Invitational travel to persons serving without compensation whose consultive, advisory, or other specialized technical services are required in a capacity that is directly related to, or in connection with, DARPA activities, pursuant to the provisions of USC 5703.

4. Approve the expenditure of funds available for travel by military personnel assigned or detailed to DARPA for expenses incident to attendance at meetings of technical, scientific, professional, or other similar organizations in such instances where the approval of the Secretary of Defense or his designee is required by law (37 USC 412). This authority cannot be redelegated.

5. Develop, establish, and maintain an active and continuing Records Management Program, pursuant to the provisions of Section 506(b) of the Federal Records Act of 1950 (44 USC 3102), the Freedom of Information Act Program (5 USC 552) and the Privacy Act Program (5 USC 552a).

6. Enter into and administer contracts, through a Military Department or other U.S. Government department or agency, as appropriate, for research and development, supplies, equipment, and services required to accomplish the mission of DARPA. To the extent that any law or Executive Order specifically limits the exercise of such authority to persons at a higher level in the Department of Defense, such authority will be exercised by the appropriate Under Secretary or Assistant Secretary of Defense.

7. Establish and use Imprest Funds for making small purchases of material and services, other than personal, when it is determined more advantageous and consistent with the best interest of the Government, in accordance with the provisions of DoD Instruction 5100.71, "Delegations of Authority and Regulations Relating to Cash Held at Personal Risk Including Imprest Funds," March 5, 1973 and the Joint Regulation of the General Services Administration/Treasury Department/General Accounting Office, entitled "For Small Purchases Utilizing Imprest Funds."

8. Authorize the publication of advertisements, notices, or proposals in public periodicals as required for the effective administration and operation of DARPA (44 USC 3702).

9. Promulgate the necessary security regulations for the protection of property and places under the jurisdiction of the Director, DARPA pursuant to subsections III.A. and V.B. of DoD Directive 5200.8, "Authority of Military Commanders Under the International Security Act of 1950 To Issue Security Orders and Regulations for the Protection of Property or Places Under Their Command," August 20, 1954.

10. Establish and maintain, for the functions assigned, an appropriate publications system for the promulgation of regulations, instructions, and reference documents, and changes thereto, pursuant to the policies and procedures prescribed in DoD Directive 5025.1, November 18, 1977.

11. In coordination with the Deputy Assistant Secretary of Defense (Administration), enter into interservice support agreements in accordance with DoD Directive 4000.19, "Basic Policies and Principles for Interservice, Interdepartmental and Interagency Support," March 27, 1972.

12. Establish and maintain appropriate Property Accounts for DARPA and appoint Boards of Survey, approve reports of survey, relieve personal liability, and drop accountability for DARPA property contained in the authorized Property Accounts that have been lost, damaged, stolen, destroyed, or otherwise rendered unserviceable, in accordance with applicable laws and regulations.

Jun 8, 78

The Director, DARPA, may redelegate these authorities, as appropriate, and in writing, except as otherwise specifically indicated above or as otherwise provided by law or regulation.

These delegations of authority are effective immediately.

18 Nov 1980

DEFENSE NUCLEAR AGENCY - TOA'S

FY 80: \$208,769,000

FY 81: \$223,395,000 (granted by OSD)



November 3, 1971
NUMBER 5105.31

ASD(C)

Department of Defense Directive

SUBJECT Defense Nuclear Agency (DNA)

- References:**
- (a) DoD Directive 5105.31, "Defense Atomic Support Agency (DASA)," July 22, 1964 (hereby cancelled)
 - (b) DoD Directive 4145.20, "Environmental Criteria and Design Standards for Atomic Weapons Storage and Maintenance Facilities," November 29, 1961 (hereby cancelled)
 - (c) DoD Directive 5154.4, "The Department of Defense Explosives Safety Board," October 23, 1971
 - (d) DoD Directive 5030.2, "Procedure for Handling Joint AEC-DoD Nuclear Weapons Development Projects," October 26, 1962

I. GENERAL

Pursuant to the authority vested in the Secretary of Defense, the Defense Nuclear Agency (DNA) is established as a designated agency of the Department of Defense (DoD) under the direction, authority, and control of the Secretary of Defense.

II. ORGANIZATION

DNA will consist of:

- A. A Director, a Deputy Director (Operations and Administration), a Deputy Director (Science and Technology), and a headquarters establishment.

- B. Such subordinate units, field activities, and facilities as are established by the Director, DNA, or are herein or hereafter assigned or attached specifically to DNA by the Secretary of Defense.

III. MISSION AND RESPONSIBILITIES

- A. The mission of DNA is to provide support to the Secretary of Defense, the Military Departments, the Joint Chiefs of Staff, and other DoD Components, as appropriate, in matters concerning nuclear weapons as provided herein and such other aspects of the DoD nuclear program as may be directed by competent authority.
- B. The Director, DNA, will be responsible for:
1. Consolidated management of the DoD nuclear weapons stockpile in accordance with the functions assigned herein.
 2. Management of DoD nuclear weapons testing and nuclear weapons effects research programs. (This does not affect the basic Service responsibility for all aspects of specific weapons system development).
 3. Providing staff advice and assistance on nuclear weapons matters within his cognizance to the Secretary of Defense, the Military Departments, the Joint Chiefs of Staff, other DoD Components, and government agencies, as appropriate and when requested.

IV. SUPERVISION

Staff supervision of DNA for the Secretary of Defense will be provided as follows:

- A. The Joint Chiefs of Staff, acting through the Director, DNA, will exercise primary staff supervision over

DNA activities, except as prescribed otherwise herein. Specifically, they will:

1. Exercise staff supervision over the military operational aspects of DNA activities, including:
 - (a) composition of the nuclear stockpile;
 - (b) allocation and deployment of nuclear weapons;
 - (c) military participation in and support of nuclear testing; (d) frequency of technical standardization inspections; and (e) requirements for technical publications.
 2. Review and provide military advice on the adequacy of the DNA efforts in nuclear weapons testing and nuclear weapons effects research which is related directly to military systems considered in the Joint Strategic Objectives Plan, Joint Force Memorandum, and Nuclear Warhead Development Guidance.
- B. The Director, Defense Research and Engineering (DDR&E) will exercise staff supervision through the Director, DNA, keeping the Director, Joint Staff, informed, of DNA activities associated with the DoD nuclear weapons effects research and nuclear weapons test programs.
- C. The Assistant to the Secretary of Defense (Atomic Energy) will exercise staff supervision through the Director, DNA, keeping the Director, Joint Staff, informed, of DNA activities associated with: (1) technical nuclear safety; (2) logistics aspects of nuclear weapon stockpile management; (3) the application of nuclear energy in other than the weapons field; (4) the transmission of information to the Joint Committee on Atomic Energy, as required by the Atomic Energy Act of 1954, as amended; and (5) agreements between the DoD and the Atomic Energy Commission (AEC) on appropriate nuclear matters. In his role as Chairman of the Military Liaison Committee (MLC), the ATSD(AE) will exercise staff supervision through the Director, DNA, of DNA activities associated with DNA support of the MLC.

V. FUNCTIONS

Under its Director, and in accordance with the assignments of responsibility specified in Paragraph III., above, DNA will perform the following functions:

- A. Maintain overall surveillance and provide guidance, coordination, advice, or assistance, as appropriate, for all nuclear weapons in DoD custody, including production, composition, allocation, deployment, movement, storage, maintenance, quality assurance and reliability assessment, reporting procedures, and retirement.
- B. Provide advice and assistance, as appropriate, to the Secretary of Defense, Military Departments, Joint Chiefs of Staff, Unified and Specified Commands, and other government agencies on the effectiveness of nuclear weapons; the vulnerability of military forces, installations, and systems against nuclear weapons effects; and radiological defense activities. In this connection, when directed by the DDR&E, DNA will serve as DoD coordinator for work in selected technological areas related to nuclear vulnerability activities conducted by the Military Departments or other DoD Components.
- C. Provide nuclear weapon stockpile information to the Joint Chiefs of Staff as required.
- D. Provide nuclear warhead logistic information to authorized DoD organizations.
- E. Plan, coordinate, and supervise the conduct of DoD nuclear weapons effects research and nuclear weapons testing, to include evaluation of the results of these programs.
- F. Develop, coordinate, and maintain the national nuclear test readiness program jointly with the AEC and perform associated technical, operational, and safety planning.

- G. Develop, coordinate, and conduct test exercises, overseas nuclear tests, and other nuclear-related operations, as directed. Arrange for mutual AEC-DoD support of AEC, DoD, or joint nuclear weapons tests.
- H. Act as the central coordinating agency for the DoD with the AEC on nuclear weapon stockpile management, nuclear weapon testing, and nuclear weapons effects research within approved policies and programs and in consonance with the statutory provisions for the MLC and pertinent DoD-AEC agreements.
- I. Conduct technical standardization inspections of units having responsibilities for assembling, maintaining or storing nuclear weapons, their associated components and ancillary equipment. Inspections will be performed on a selective sampling basis of nuclear capable units assigned to every major command in the Department of Defense. The Joint Chiefs of Staff will determine the frequency of such inspections. Inspection schedules will be coordinated with the major or component commands and the Service concerned.
- J. Command the Armed Forces Radiobiology Research Institute (AFRRI).
- K. Maintain and operate a Joint Nuclear Accident Coordinating Center (JNACC), in conjunction with the AEC.
- L. Operate the Joint Atomic Information Exchange Group (JAIEG) in accordance with policy guidance furnished jointly by the ATSD(AE) for the DoD and the Assistant General Manager for Military Application for the AEC.
- M. Perform for the DoD: (1) integrated materiel management functions for all AEC special designed and quality controlled nuclear ordnance items and for Service designed and quality controlled nuclear ordnance items where such management is mutually agreed upon between DNA and the appropriate Service, or as directed by the Assistant Secretary of Defense (Installations and Logistics); (2) management of

that portion of the Federal Cataloging Program pertaining to nuclear ordnance items including the maintenance of the central data bank and the publication of Federal Supply Catalogs and Handbooks for all nuclear ordnance items; (3) as the DoD assignee, the standardization of nuclear ordnance items in coordination with the appropriate Service; (4) management of the AEC-DoD loan account for nuclear materials; and (5) management of a technical logistics data and information program.

- N. Perform technical analyses and studies for the Secretary of Defense, the Military Departments, and the Joint Chiefs of Staff of nuclear related problems; prepare and coordinate implementing directives and joint technical publications when requested. DNA will provide analysis and study results to Defense Components, as appropriate, when such results are pertinent to stated requirements.
- O. In coordination with the AEC and the Military Departments, disseminate technological information of joint interest relating to nuclear technology, development, and weapons through laboratory liaison, technical reports, and nuclear weapons technical publications. Publications pertaining to specific weapons will be the responsibility of the lead Service for the weapon concerned.
- P. Provide technical assistance and support to the Secretary of Defense, the Military Departments, and the Joint Chiefs of Staff in developing nuclear warhead safety requirements and reviewing and processing safety rules for nuclear weapons systems. When appropriate, coordination will be effected with the Department of Defense Explosives Safety Board. (See DoD Directive 5154.4 (reference (c))).
- Q. Within guidelines established by the Joint Chiefs of Staff, investigate and recommend DoD security and safety standards and operating procedures.
- R. Develop, prepare, and publish, in coordination with the AEC, Military Departments, and the Department of Defense Explosives Safety Board, appropriate guidance,

environmental criteria, and design standards for the construction of facilities to be used for the storage and maintenance of nuclear weapons.

- S. Perform such other functions as may be assigned by the Secretary of Defense.

VI. AUTHORITY

The Director, DNA, is specifically delegated authority to:

- A. Command the Defense Nuclear Agency.
- B. Have access to and direct communications with all DoD Components and, after appropriate coordination, with other organizations.
- C. Exercise the administrative authorities contained in Enclosure 1 of this Directive.

VII. RELATIONSHIPS

- A. In the performance of his function, the Director, DNA, will: (1) coordinate actions as appropriate with other Components of the DoD and those departments and agencies of government having related functions; (2) maintain appropriate liaison for the exchange of information and findings related to his assigned responsibilities; (3) make maximum use of established facilities, procedures, and channels for logistic support, procurement, accounting, disbursing, investigative, and related administrative operations; (4) obtain information from any Component of the DoD which is necessary for the performance of DNA functions; and (5) insure that the Military Departments, Joint Chiefs of Staff, and appropriate OSD staff elements are kept fully informed concerning DNA activities.
- B. The Military Departments and other DoD Components will: (1) provide assistance within their respective fields of responsibility to the Director, DNA, in carrying out

his assigned responsibilities and functions; (2) coordinate with DNA all programs which include or are related to nuclear weapons effects research or nuclear weapons testing; (this includes specifically keeping the Director, DNA informed of systems response to nuclear weapons effects) (3) keep the Director, DNA, informed as to the substance of their major actions being coordinated with other DoD Components, AEC and its laboratories, and other government agencies which relate to DNA functions; and (4) provide the Director, DNA, with requirements for nuclear weapons effects research and nuclear weapons testing.

VIII. ADMINISTRATION

- A. The Director, DNA, will be a lieutenant general or vice admiral appointed by the Secretary of Defense, upon recommendation of the Joint Chiefs of Staff. Normally, the position of Director will rotate among the Services.
- B. The Deputy Directors will be appointed by the Secretary of Defense. When military officers, the Deputy Directors will be recommended by the Joint Chiefs of Staff and will normally be selected from Services different from that of the Director. Civilian Deputy Directors will be recommended by the DDR&E.
- C. DNA will be authorized such personnel, facilities, funds, and other administrative support as the Secretary of Defense deems necessary.
- D. The Military Departments will assign military personnel to DNA in accordance with approved Joint Manpower Program authorizations. Procedures for such assignments will be as agreed upon between the Director, DNA, and the individual Military Departments.

DELEGATIONS OF AUTHORITY

Pursuant to the authority vested in the Secretary of Defense, the Director, DNA, or, in the absence of the Director, a person acting for him is hereby delegated, subject to the direction, authority, and control of the Secretary of Defense, and in accordance with DoD policies, directives, and instructions, and pertinent OSD regulations, authority as required in the administration and operation of DNA to:

1. Exercise the powers vested in the Secretary of Defense by Section 204 of the National Security Act of 1947, as amended (10 U. S. C. 1580) and Section 12 of the Administrative Expenses Act of 1946, as amended (5 U. S. C. 302), pertaining to the employment, direction and general administration of DNA civilian personnel:
2. Fix rates of pay for wage board employees exempted from the Classification Act by 5 U. S. C. 5102(c)(7) on the basis of rates established under the Coordinated Federal Wage System. DNA, in fixing such rates, shall follow the wage schedules established by DoD Wage Fixing Authority.
3. Establish such advisory committees and employ such part-time advisors as approved by the Secretary of Defense for the performance of DNA functions pursuant to the provisions of 10 U. S. C. 173, 5 U. S. C. 3109(b), and the Agreement between the DoD and the Civil Service Commission on employment of experts and consultants, dated July 22, 1959.
4. Administer oaths of office incident to entrance into the Executive Branch of the Federal Government or any other oath required by law in connection with employment therein, in accordance with the provisions of the Act of June 26, 1943, as amended, 5 U. S. C. 2903(b), and designate in writing, as may be necessary, officers and employees of DNA to perform this function.
5. Establish a DNA Incentive Awards Board and pay cash awards to and incur necessary expenses for the honorary recognition of civilian employees of the Government whose suggestions, inventions, superior accomplishment, or other personal efforts, including special acts or services, benefit or affect DNA or its subordinate activities in accordance with the provisions of the Act of September 1, 1954, as amended, 5 U. S. C. 4503, and Civil Service Regulations.

Nov 3, 71

6. In accordance with the provisions of the Act of August 26, 1950, as amended (5 U.S.C. 7532); Executive Order 10450, dated April 27, 1953, as amended; and DoD Directive 5210.7, dated September 2, 1966 (as revised):

a. Designate any position in DNA as a "sensitive" position;

b. Authorize, in case of an emergency, the appointment of a person to a sensitive position in the Agency for a limited period of time for whom a full field investigation or other appropriate investigation, including the National Security Check, has not been completed; and

c. Authorize the suspension, but not to terminate the services of an employee in the interest of national security in positions within DNA.

7. Clear DNA personnel and such other individuals as may be appropriate for access to classified Defense material and information in accordance with the provisions of DoD Directive 5210.8, dated February 15, 1962 (as revised), "Policy on Investigation and Clearance of Department of Defense Personnel for Access to Classified Defense Information" and of Executive Order 10501, dated November 5, 1953, as amended.

8. Act as agent for the collection and payment of employment taxes imposed by Chapter 21 of the Internal Revenue Code of 1954, and, as such agent, make all determinations and certifications required or provided for under Section 3122 of the Internal Revenue Code of 1954, 26 U.S.C. 3122, and Section 205(p) (1) and (2) of the Social Security Act, as amended, 42 U.S.C., 405(p) (1) and (2), with respect to DNA employees.

9. Authorize and approve overtime work for DNA civilian officers and employees in accordance with the provisions of Section 550.111 of the Civil Service Regulations.

10. Authorize and approve:

a. Travel for DNA civilian officers and employees in accordance with Joint Travel Regulations, Volume 2, Department of Defense, Civilian Personnel, dated July 1, 1965, as amended.

23 pages

DEFENSE ADVANCED RESEARCH PROJECTS AGENCY

The attached documents were provided to the Carter-Reagan Transition team by DARPA. The documents are released in their entirety with the exception of portions denied in the Summary of FY 1982 Basic Budget by Major Thurst. The deleted information is currently and properly classified within the meaning of Executive Order 12065. The unauthorized release of this information would provide an adversary an insight into the scientific, technical, operational, intelligence, strategic and tactical advantages of the United States and is directly related to national security. Therefore, the information is denied under 5 USC 552(b)(1).

The Initial Denial Authority is Mr. Carl F. Romney, Deputy Director for Research, DARPA.



DEFENSE ADVANCED RESEARCH PROJECTS AGENCY (DARPA)



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DEFENSE ADVANCED RESEARCH PROJECTS AGENCY

(U) Long-Range Goal: The Defense Advanced Research Projects Agency (DARPA) is a central research organization for the Department of Defense (DoD). As a corporate research organization its goals are to pursue those highly imaginative and innovative research ideas and concepts which offer significant military utility; to support and manage projects assigned by the Secretary; and to carry advanced research through to feasibility demonstration for military application.

(U) Major Objectives: The Agency's investment strategy is guided by the DoD's dedication to maintaining technological leadership in defense capabilities. Research and development projects stress the technology and are often high risk investments. The Agency is encouraged to assume these risks where it is convinced that when the research or technology matures, a major advancement in military capability will be within reach. Clearly, setting stressing technical goals at the initiation of R&D will challenge the apparent technical barriers.

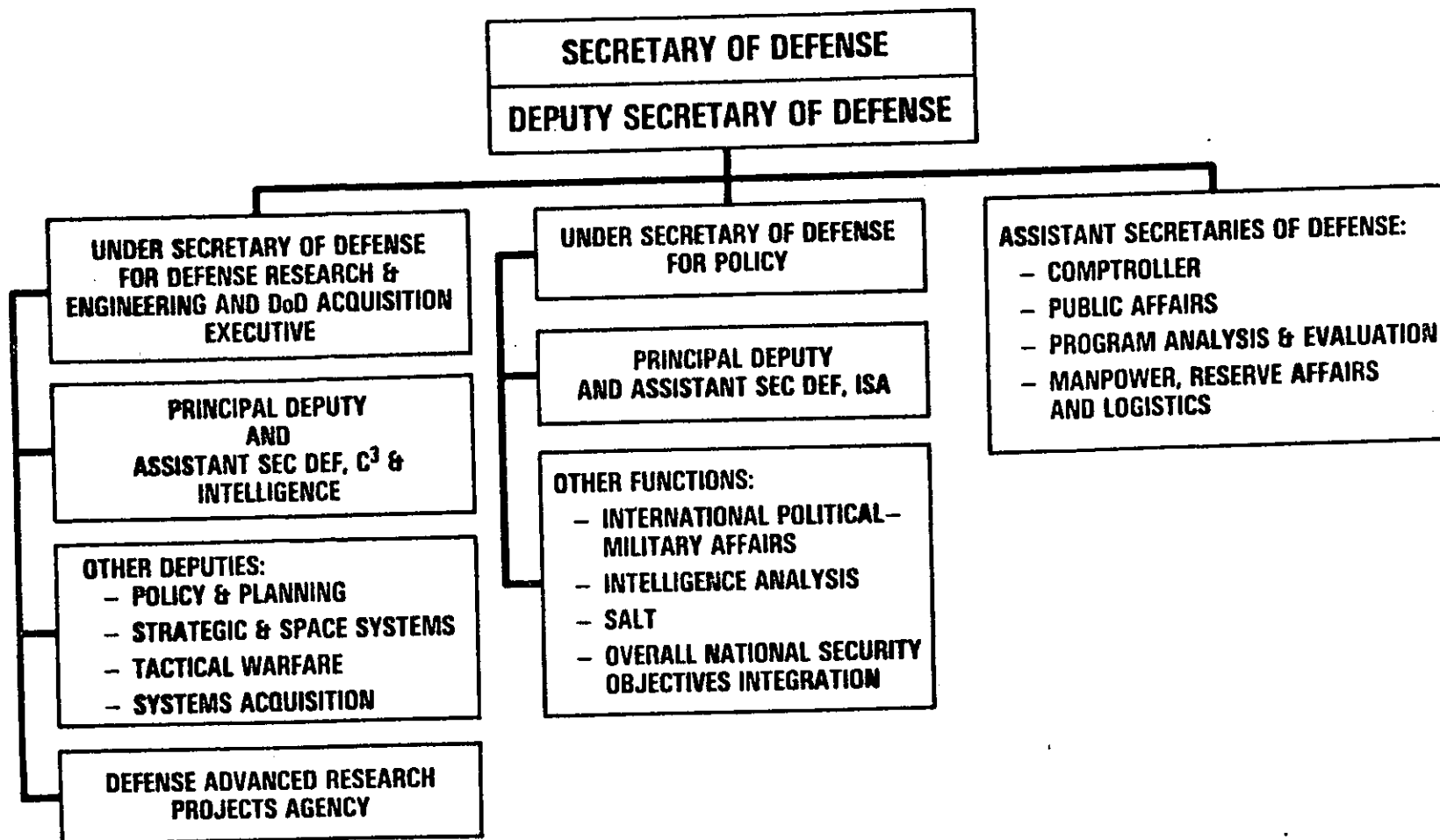
(U) Current Method of Accomplishing Objectives: DARPA's fiscal approach is to fund at a level which will assure that the project's technical goals are not compromised by inadequate financial support. The project moves forward at a pace limited primarily by technical knowledge and human resources. This yields an early determination of the utility of the R&D and its probable future success. The Agency carries its initial investments along in this manner, accepting the risk, discarding the losers early, and selectively extending the highest promise projects into modest scale demonstrations for experimental evaluation. During the planning and conduct of these demonstrations, increased participation by the Military Services is sought in the formulation of demonstration objectives and scenarios consistent with military technology evaluation and selection criteria. This facilitates the subsequent transition of selected technology programs to the military for advanced development.

(U) DARPA executes its program through Service agents and, where appropriate, also demonstrates technical feasibility and military utility in joint demonstrations and experiments with the Services. The current allocation of funds to agents within the Military Departments and other Defense Agencies is reflected on page 4. "Proof-of-Concept" and Technology Demonstrations presently underway are identified on page 5.

(U) Mission, Responsibilities and Authorities: Department of Defense Directive 5105.41 dated June 8, 1978, sets forth the DARPA mission, responsibilities, functions and authorities. A copy of this directive is provided as an attachment.

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OFFICE OF THE SECRETARY OF DEFENSE



JANUARY 1980

INVESTMENT STRATEGY

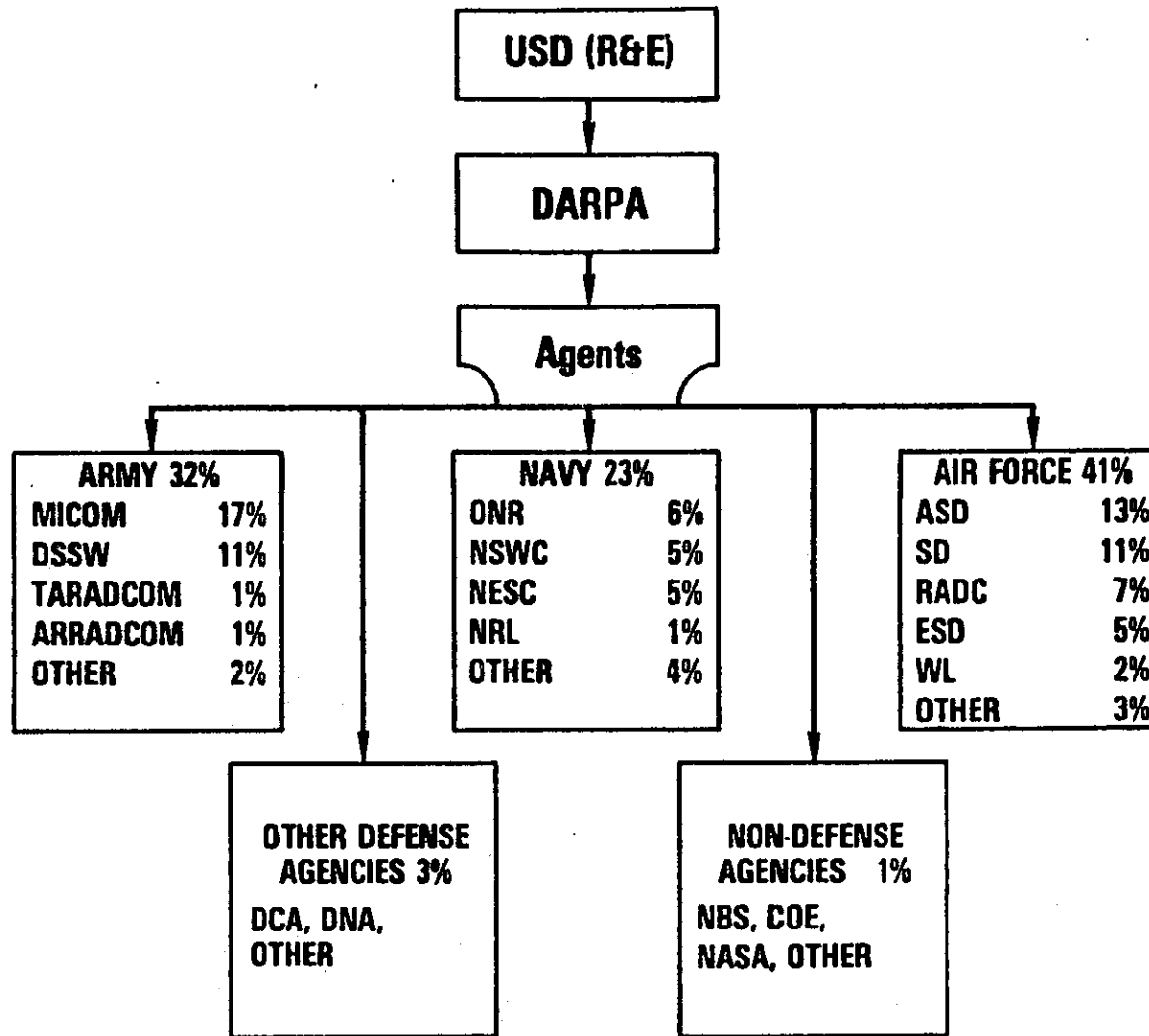


-
- ▶ **DARPA role:**
 - Long term
 - High risk
 - High military utility
 - Asymmetric technology

 - ▶ **Guidelines:**
 - Identify technological fallout
 - Stress the technology
 - Avoid roles and missions arguments
 - Transfer to services
 - Service agents
 - Demonstrations and experiments

SEPTEMBER 1980

DEFENSE ADVANCED RESEARCH PROJECTS AGENCY
FY 1980 DARPA PROGRAM EXECUTION



October 1980

149-10-30-78-18
 R10-24-80

"PROOF OF CONCEPT" AND TECHNOLOGY DEMONSTRATIONS (EEMIT)*



- ▶ **Advanced aircraft concepts (\$200 M)**
 - **Forward swept wing**
 - **X-Wing**
 - **Teal Rain**
- ▶ **Advanced cruise missile vehicle and terminal homing (\$80 M)**
- ▶ **Space defense laser technology – Triad (\$380 M)**
- ▶ **Space surveillance technology (\$500 M)**
 - **Teal Ruby/advanced sensor demonstration**
- ▶ **Assault Breaker (\$180 M)**
- ▶ **Fire and forget missile – Tank Breaker (\$45 M)**
- ▶ **Strategic laser communications (\$335 M)**
- ▶ **Charged particle beam technology (\$100 M)**
- ▶ **Tactical artillery system – indirect fire cannon (\$50 M)**

***Costs are expected total program costs and include service dollars**

SEPTEMBER 1980

DEFENSE ADVANCED RESEARCH PROJECTS AGENCY (DARPA)

DIRECTOR
DEPUTY DIRECTOR FOR RESEARCH
DEPUTY DIRECTOR FOR TECHNOLOGY

EXECUTIVE ASSISTANT
MANPOWER ASSISTANT

PLANS, DIRECTS, CONTROLS AND MANAGES ADVANCED RESEARCH PROJECTS ACTIVITIES CONDUCTED FOR THE PURPOSE OF ADVANCING THE TECHNOLOGY AND SOLVING MILITARY AND NATIONAL SECURITY PROBLEMS CONFRONTING THE DEPARTMENT OF DEFENSE

DEFENSE SCIENCES OFFICE

PLANS, DIRECTS AND MANAGES ACTIVITIES AND PROGRAMS IN THE AREAS OF: (1) NUCLEAR MONITORING, RESPONSIBLE FOR RESEARCH, EXPERIMENTATION AND SYSTEMS DEVELOPMENT LEADING TO IMPROVED NATIONAL CAPABILITY TO DETECT, IDENTIFY AND DETERMINE THE CHARACTERISTICS OF FOREIGN NUCLEAR IMPLICATIONS IN ALL ENVIRONMENTS FROM UNDERGROUND TO DEEP IN SPACE; PROVIDES TECHNICAL ADVICE TO POLICY AGENCIES OF THE DOD AND OTHER AGENCIES RESPONSIBLE FOR DEVELOPING U.S. POLICY AND NEGOTIATING STRATEGY AND INTERNATIONAL NEGOTIATIONS ON TREATIES LIMITING NUCLEAR TESTING; (2) MATERIALS SCIENCES EMPLOYING CRITICAL NEW OPPORTUNITIES WITHIN THE BROAD AREAS OF ELECTRONIC, OPTICAL AND STRUCTURAL MATERIALS AND THEIR PROCESSING THAT MAY PROVIDE KEYS TO SIGNIFICANT ADVANCES IN THE COMBAT CAPABILITIES OF GENERAL PURPOSE AND STRATEGIC FORCES SYSTEMS; TECHNOLOGICAL ADVANCES THAT CONTRIBUTE TO REDUCING THE LIFE CYCLE OF WEAPONS SYSTEMS; (3) CYBERNETICS TECHNOLOGY INCLUDES PROGRAMS IN BASIC AND APPLIED RESEARCH IN DEFENSE RELATED CYBERNETICS SCIENCES AND SYSTEMS CYBERNETICS TECHNOLOGY. THE OFFICE IN GENERAL, CARRIES MORE PROMISING TECHNOLOGICAL DEVELOPMENTS THROUGH TO A SUFFICIENT DEMONSTRATION OF FEASIBILITY TO INSURE THAT THE RESULTS ARE ACCEPTABLE FOR TRANSFER TO THE APPROPRIATE MILITARY SERVICE.

INFORMATION PROCESSING TECHNIQUES OFFICE

PLANS, DIRECTS AND MANAGES ACTIVITIES AND PROGRAMS DESIGNED TO DEVELOP ADVANCED INFORMATION PROCESSING AND COMPUTER COMMUNICATION TECHNOLOGY FOR CRITICAL COMMAND AND CONTROL, INTELLIGENCE AND WEAPONS APPLICATIONS. THE RESEARCH PROGRAM WHICH IS THE LARGEST IN THE FEDERAL GOVERNMENT, INCLUDES BOTH BASIC RESEARCH AND EXPERIMENTAL DEVELOPMENT. CARRIES ITS MOST PROMISING TECHNOLOGICAL DEVELOPMENTS THROUGH TO A SUFFICIENT DEMONSTRATION OF FEASIBILITY TO INSURE THAT THE RESULTS ARE ACCEPTABLE FOR TRANSFER TO THE APPROPRIATE MILITARY SERVICE OR OPERATIONAL AGENCY.

ADMINISTRATIVE OFFICE

PLANS, DEVELOPS AND COORDINATES THE ADMINISTRATIVE SERVICES FUNCTIONS OF THE DEFENSE ADVANCED RESEARCH PROJECTS AGENCY. CONDUCTS ORGANIZATIONAL SURVEYS, FEASIBILITY STUDIES, WORK MEASUREMENT STUDIES, AND PROVIDES RELATED MANAGEMENT ANALYSIS SERVICES TO DARPA. MAINTAINS RECORDS MANAGEMENT, FORMS MANAGEMENT AND REPORTS CONTROL SERVICES. MAINTAINS A SPECIAL COMPARTMENTED INFORMATION SECURITY VAULT AND RELATED SPECIAL SECURITY FUNCTIONS. SUPERVISES ADMINISTRATIVE SUPPORT FUNCTIONS TO INCLUDE TRAVEL SERVICES, AUTHORIZING IMPRINT FUND PURCHASES, PHYSICAL SECURITY OF THE BUILDING, MAIL AND MESSENGER SERVICES. PLANS AND ADMINISTERS THE AGENCY SUPPLY MANAGEMENT PROGRAM. MAINTAINS AN EFFECTIVE SPACE AND FACILITIES MANAGEMENT PROGRAM. ADMINISTERS THE OPERATION OF A TECHNICAL INFORMATION CENTER. DIRECTS AND SUPERVISES THE INFORMATION SECURITY PROGRAM, FREEDOM OF INFORMATION PROGRAM, AND PRIVACY ACT PROGRAM WITHIN THE AGENCY. RESPONSIBLE FOR SECURITY MANAGEMENT OF THE DARPA SPONSORED JOURNAL OF DEFENSE RESEARCH. ADMINISTERS THE FOREIGN DISCLOSURE DENIAL PROGRAM.

DIRECTED ENERGY OFFICE

PLANS, DIRECTS AND MANAGES ACTIVITIES AND PROGRAMS IN THE AREAS OF CHARGED PARTICLE BEAM TECHNOLOGY AND GROUND AND SPACE BASED HIGH ENERGY LASERS FOR SPACE DEFENSE AND OTHER APPLICATIONS. EXPLORES AND EVALUATES THE POSSIBILITIES FOR MAJOR TECHNICAL IMPROVEMENTS IN THESE AREAS IN ORDER TO CONTRIBUTE TO AN ENHANCED STRATEGIC CAPABILITY, AS WELL AS TO GUARD AGAINST UNSPECTED ENEMY DEVELOPMENTS WHICH COULD DEGRADE U.S. STRATEGIC CAPABILITY. EXPLORES AND DEVELOPS NEW TECHNOLOGIES WHICH MAY BE NEEDED TO IMPROVE THE FLEXIBILITY AND OPTIONS FOR RESPONSE TO CHANGING, MORE LIMITED OR LOCALIZED STRATEGIC SITUATIONS. CARRIES ITS MOST PROMISING TECHNOLOGICAL DEVELOPMENTS THROUGH TO A SUFFICIENT DEMONSTRATION OF FEASIBILITY TO INSURE THAT THE RESULTS OF PROGRAMS ARE ACCEPTABLE FOR TRANSFER TO THE APPROPRIATE MILITARY SERVICE.

STRATEGIC TECHNOLOGY OFFICE

PLANS, DIRECTS AND MANAGES ACTIVITIES AND PROGRAMS IN THE AREAS OF INFRARED AND RADAR SPACE SURVEILLANCE SYSTEMS FOR STRATEGIC WARNING AND OTHER APPLICATIONS AND ADVANCED STRATEGIC CONCEPTS AND ANALYSES FOR DEFENSIVE AND OFFENSIVE SYSTEMS. EXPLORES AND EVALUATES THE POSSIBILITIES FOR MAJOR TECHNICAL IMPROVEMENTS IN THESE AREAS IN ORDER TO CONTRIBUTE TO AN ENHANCED STRATEGIC CAPABILITY, AS WELL AS TO GUARD AGAINST UNSPECTED ENEMY DEVELOPMENTS WHICH COULD DEGRADE U.S. STRATEGIC CAPABILITY. EXPLORES AND DEVELOPS NEW TECHNOLOGIES WHICH MAY BE NEEDED TO IMPROVE THE FLEXIBILITY AND OPTIONS FOR RESPONSE TO CHANGING, MORE LIMITED OR LOCALIZED STRATEGIC SITUATIONS. CARRIES ITS MOST PROMISING TECHNOLOGICAL DEVELOPMENTS THROUGH TO A SUFFICIENT DEMONSTRATION OF FEASIBILITY TO INSURE THAT THE RESULTS OF PROGRAMS ARE ACCEPTABLE FOR TRANSFER TO THE APPROPRIATE MILITARY SERVICE.

PROGRAM MANAGEMENT OFFICE

PROVIDES STAFF MANAGEMENT ASSISTANCE TO THE DIRECTOR. RESPONSIBILITY FOR COMPTROLLER AND BUDGET PLANNING ASPECTS. DEVELOPS AND MAINTAINS THE PROGRAM MANAGEMENT PROCESS FOR PLANNING, REVIEWING AND CONTROLLING PROCEDURES WITHIN THE AGENCY. ASSUMES THE PROPER PROCEDURES AND CONTROL FOR PROGRAM EXECUTION AND CONTRACT PROCUREMENT. MAINTAINS NEARLY PROGRAM ACCOUNTABILITY ON IMPLEMENTATION. MAINTAINS LIAISON WITH CONGRESSIONAL STAFF AND PROVIDES FOR DIRECT MATERIAL WITH CONGRESS. MAINTAINS A MANAGEMENT INFORMATION SYSTEM TO SUPPORT THE AGENCY'S REQUIREMENTS FOR TABLE FISCAL CONTRACTING AND PROGRAMMATIC DATA.

TACTICAL TECHNOLOGY OFFICE

PLANS, DIRECTS AND MANAGES ACTIVITIES AND PROGRAMS IN THE AREAS OF TARGET ACQUISITION AND ENGAGEMENT, OCEAN MONITORING AND CONTROL, AND WEAPONS TECHNOLOGY AND CONCEPTS. CONTINUALLY EXPLORES AND EVALUATES THE POSSIBILITIES FOR MAJOR TECHNICAL IMPROVEMENTS IN EQUIPMENT AND TECHNIQUES IN THESE AREAS FOR OUR GENERAL PURPOSE FORCES TO INSURE THEIR EFFECTIVENESS IN DETERRING CONVENTIONAL AND TACTICAL NUCLEAR WAR AND THE CAPABILITY TO DEFEND U.S. INTERESTS SHOULD DETERRENCE FAIL. EXPLORES AND DEVELOPS NEW TECHNOLOGY TO RETAIN NOT ONLY THE NECESSARY MARGIN OF TECHNOLOGICAL SUPERIORITY BUT ALSO THE UTILIZATION OF ADVANCED TECHNOLOGY FOR COST MANPOWER AND ENERGY CONSERVATION AND, HENCE, TO PROVIDE THE FLEXIBILITY AND OPTIONS FOR RESPONSE TO CHANGING TACTICAL WARFARE SITUATIONS. CARRIES ITS MOST PROMISING TECHNOLOGICAL DEVELOPMENTS THROUGH TO SUFFICIENT DEMONSTRATION OF FEASIBILITY TO INSURE THAT THE RESULTS ARE ACCEPTABLE FOR TRANSFER TO THE APPROPRIATE MILITARY SERVICE.

AIR VEHICLES TECHNOLOGY OFFICE

PLANS, DIRECTS AND MANAGES ACTIVITIES AND PROGRAMS IN THE AREAS OF ADVANCED MANEUVER AIRCRAFT (ACTARY AND FIED WING), ADVANCED UNMANNED PLATFORMS (REMOTELY PILOTED VEHICLES AND CRUISE MISSILES), ADVANCED AIR PLATFORM PROPULSION TECHNOLOGIES, ADVANCED MATERIAL AND STRUCTURES, ADVANCED FLIGHT CONTROL SYSTEMS AND ADVANCED AERODYNAMICS. CONTINUALLY EXPLORES AND EVALUATES THE POSSIBILITIES FOR MAJOR TECHNICAL IMPROVEMENTS IN EQUIPMENT AND TECHNIQUES IN THE ABOVE AREAS FOR OUR GENERAL PURPOSE FORCES TO INSURE EFFECTIVENESS IN DETERRING CONVENTIONAL AND TACTICAL NUCLEAR WAR AND THE CAPABILITY TO DEFEND U.S. INTERESTS SHOULD DETERRENCE FAIL. EXPLORES AND DEVELOPS NEW TECHNOLOGY TO RETAIN NOT ONLY THE NECESSARY MARGIN OF TECHNOLOGICAL SUPERIORITY BUT ALSO THE UTILIZATION OF ADVANCED TECHNOLOGY FOR COST MANPOWER AND ENERGY CONSERVATION AND, HENCE, TO PROVIDE THE FLEXIBILITY AND OPTIONS FOR RESPONSE TO CHANGING AIR WARFARE SITUATIONS. CARRIES ITS MOST PROMISING TECHNOLOGICAL DEVELOPMENTS THROUGH TO SUFFICIENT DEMONSTRATION OF FEASIBILITY TO INSURE THAT RESULTS ARE ACCEPTABLE FOR TRANSFER TO THE APPROPRIATE MILITARY SERVICE.

DARPA REGIONAL OFFICES

PLANS, DEVELOPS AND COORDINATES THE ACTIVITIES OF DARPA ACTIVITIES IN RESPECTIVE REGIONS. EVALUATES THE RELATIONSHIP OF DARPA PROGRAMS CONDUCTED IN THE U.S. TO PLANNING INPUTS AND ACTIVITIES UNDERTAKEN WITH THE U.S. OR ALLIED FORCES. INITIATES AND MANAGES R&D PROGRAMS OF DIRECT INTEREST TO U.S. FORCES IN EUROPE AND PACIFIC.

3 December 1980

DARPA FY-81 AUTHORIZED MANNING

	<u>Professional</u>	<u>Support</u>	<u>Totals</u>
Civilian	74	44	118
Military	<u>25</u>	<u>4</u>	<u>29</u>
	99	48	147

Military

2 Army - 2 officers

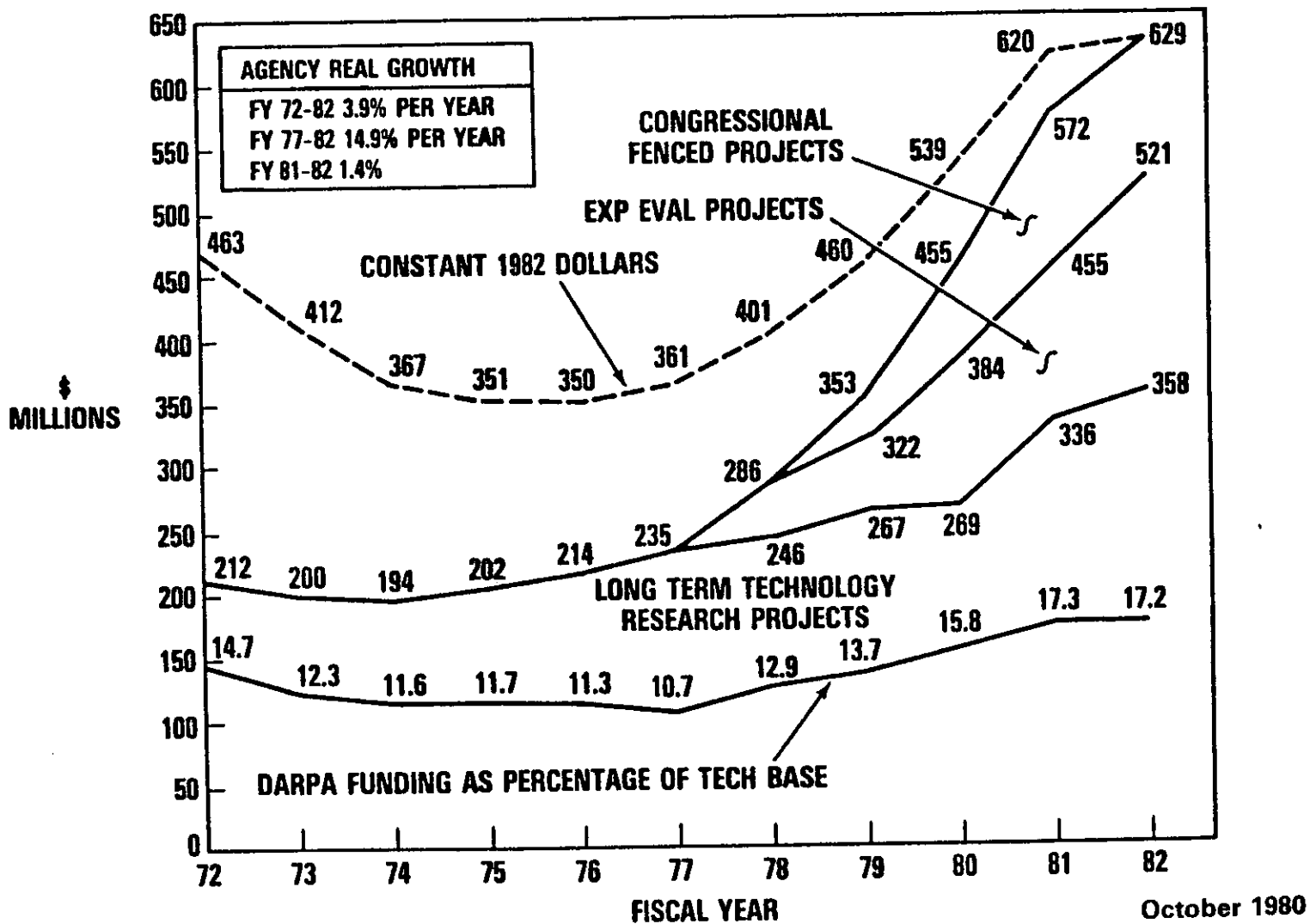
7 Navy - 6 officers

20 Air Force - 16 officers

DEFENSE ADVANCED RESEARCH PROJECTS AGENCY

FUNDING TRENDS

FY 1972 - 1982



255-10-24-80-5

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DEFENSE ADVANCED RESEARCH PROJECTS AGENCY

SUMMARY OF FY 1982 BASIC

BUDGET BY MAJOR THRUST

(\$ in Millions)

<u>Major Thrusts</u>	<u>FY 1981</u>	<u>FY 1982</u>	<u>Change</u>	<u>Description/Source of Major Changes</u>
Advanced Cruise Missile	50.7	56.9	+ 6.2	Development of critical technologies for major enhancement or alternative approaches to cruise missile development, including advanced airframe designs, detection phenomenology, advanced engine cycles, autonomous terminal homing <i>5 USC 552(b)(1)</i> detection and engine development
Space Defense	73.0	98.0	+25.0	High energy lasers for space-related applications, large optics, pointing and tracking visible and free-electron lasers, damage assessment <i>5 USC 552(b)(1)</i> visible lasers
Space Surveillance	72.5	92.9	+20.4	Research and development of visible, infrared and radar sensors for advanced space missions <i>5 USC 552(b)(1)</i>
Naval Warfare	37.1	51.1	+14.0	New technology and concepts for surveillance and control of surface and subsurface strategic and tactical threats <i>(b)(1)</i> non-acoustic ASW, advanced undersea vehicle

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DEFENSE ADVANCED RESEARCH PROJECTS AGENCY

SUMMARY OF FY 1982 BASIC BUDGET

BY MAJOR THRUST (Continued)

(\$ in Millions)

<u>Major Thrusts</u>	<u>FY 1981</u>	<u>FY 1982</u>	<u>Change</u>	<u>Description/Source of Major Changes</u>
Land Combat	54.6	74.2		Detection and destruction of massed armor, all-weather day/night operations, indirect fire, advanced anti-armor warhead technology
			+19.6	- - - SUSC 552 (b) (1) advanced armor and penetrator warheads
Air Vehicles and Weapons	51.2	55.0		Advanced aircraft and air-breathing missile technology
			+ 3.8	X-Wing, FSW, rapid solidification of super alloys and other metals
Command, Control & Communications	59.0	65.1		Technologies and architectural concepts for efficient inter- and intra-theater communications and battle management
			+ 6.1	Low Cost Packet Radio, VLSI fast turnaround, system and network security, wideband packet speech, advanced network concepts
Nuclear Test Verification	17.4	17.6		Nuclear test detection and identification research in support of verification of test ban treaties
			+ 0.2	CTBT Data Center SUSC 552 (b) (1)

UNCLASSIFIED

UNCLASSIFIED

DEFENSE ADVANCED RESEARCH PROJECTS AGENCY

SUMMARY OF FY 1982 BASIC BUDGET

BY MAJOR THRUST (Continued)

(\$ in Millions)

<u>Major Thrusts</u>	<u>FY 1981</u>	<u>FY 1982</u>	<u>Change</u>	<u>Description/Source of Major Changes</u>
Technology Initiatives	61.6	86.4		Innovative research in systems, concepts, phenomena and materials for quantum advancements of defense capabilities. Seed bed technology programs
			+24.8	Advanced Digital Structures, <i>5 USC 552(b)(1)</i> Artificial Intelligence, Cruise Missile Defense, Space signal processing, submicron digital circuits, materials research
Unconventional Technology	88.4	57.2	-31.2	<i>(b)(1)</i> Charged Particle Beam and Strategic Laser Communications
Management and Support	<u>6.8</u>	<u>7.4</u>	+ 0.6	Salaries, rent, travel, equipment, supplies
	572.3	661.8	+89.5	

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DEFENSE ADVANCED RESEARCH PROJECTS AGENCY - RESEARCH AND DEVELOPMENT BASIC LEVEL PROJECT LISTING

(Dollars in Thousands)

<u>Mission Codes</u>	<u>Program Element</u>	<u>FY 1980</u>	<u>FY 1981</u>	<u>FY 1982</u>	<u>FY 1983</u>	<u>FY 1984</u>	<u>FY 1985</u>	<u>FY 1986</u>
<u>BUDGET ACTIVITY I</u>								
321	<u>6.1 Research</u>							
	61101E Defense Research Sciences	87,237	96,800	121,200	129,200	173,700	194,400	229,000
	Materials Sciences	(19,911)	(27,341)	(31,650)	(33,300)	(43,600)	(48,900)	(57,500)
	Cybernetics Sciences	(8,653)	(11,600)	(14,150)	(14,500)	(16,800)	(19,300)	(22,700)
	Computer & Communications Sciences	(20,710)	(28,100)	(33,400)	(36,300)	(47,400)	(54,300)	(64,500)
	Unconventional Detection Research	(3,578)	(7,505)	(8,550)	(9,150)	(16,550)	(17,150)	(20,250)
	Geophysical Research	(10,935)	(1,954)	(1,950)	(2,000)	(2,900)	(3,000)	(4,000)
	Charged Particle Beam	(23,450)	(20,300)	(27,000)	(29,500)	(42,000)	(47,000)	(55,300)
	Target Penetration Research	(--)	(--)	(4,500)	(4,450)	(4,450)	(4,750)	(4,750)
321	<u>6.2 Exploratory Development</u>							
	62101E Technical Studies	2,939	3,100	3,200	3,300	3,400	3,700	4,000
321	62301E Strategic Technology	90,678	114,900	139,100	154,200	185,900	209,300	235,300
321	62701E Nuclear Monitoring Research	861	--	--	--	--	--	--
321	62702E Tactical Technology	72,488	84,000	81,800	97,700	108,400	152,600	172,000
321	62708E Integrated Command & Control Technology	29,785	37,600	41,600	44,200	54,200	60,500	69,000
321	62711E Experimental Evaluation of Major Innovative Technologies	155,454	203,050	238,400	233,700	294,100	312,000	345,000
321	62712E Materials Processing Technology	10,028	11,900	13,500	14,000	17,400	19,500	23,800
321	62714E Nuclear Monitoring	--	14,200	15,600	15,500	18,900	21,400	25,100
<u>BUDGET ACTIVITY 6</u>								
	<u>6.5 Management and Support</u>							
322	63899E R&D Future Options	--	--	--	--	--	80,000	16,000
322	65898E Management Headquarters (R&D)	<u>5,825</u>	<u>6,800</u>	<u>7,407</u>	<u>7,707</u>	<u>7,807</u>	<u>7,907</u>	<u>8,007</u>
TOTAL PROGRAM		455,295	572,350	661,807	699,507	863,807	1,061,307	1,127,207

UNCLASSIFIED

SUBJECT: Accelerated Development of Space-Based Laser Weapons

BACKGROUND: DARPA has been engaged, since 1976, in developing the technology to support laser weapons for space applications. These efforts have included both infrared chemical laser technology for nearer term space-based applications as well as higher risk visible laser technology for high payoff ground-based device/space-based relay mirror applications. The chemical laser program has moved into a major technology demonstration phase

5 USC 552 (b)(1)

CURRENT STATUS: Congress has requested that by March 1, 1981, "the Secretary of Defense provide to the House and Senate Armed Services Committees an analysis of the technical, schedule, and cost risks of accelerating the development of space laser weapons" and that he "provide a detailed program plan for the earliest feasible on-orbit deployment of such a weapon." A major study effort is underway to examine options for accelerated development, to assess the utility of potential outcomes and to develop the data necessary to both establish a recommended DoD position and to respond to the congressional request. The study is being led by the Deputy Under Secretary of Defense (Research and Advanced Technology) with major participation by the Air Force, DARPA, DUSDRE (S&SS), and the Army. Study Panel inputs will be integrated during the last half of December and early January.

ALTERNATIVES/RATIONALE: Options being considered in this study include:

5 USC 552 (b)(1)

RECOMMENDATION: Recommend program options and Study Panel Report be reviewed at an early date by senior DoD/NSC decisionmakers.

~~CLASSIFIED BY: DoD Inst. 5210.61~~

~~Dated 7 April 1977~~

~~REVIEW ON: 4 December 2000~~

UNCLASSIFIED



June 8, 1978
NUMBER 5105.41

ASD(C)

Department of Defense Directive

SUBJECT Defense Advanced Research Projects Agency (DARPA)

Reference: (a) DoD Directive 5105.41, "Defense Advanced Research Projects Agency," March 23, 1972 (hereby canceled)

A. PURPOSE

Pursuant to the authority vested in the Secretary of Defense under the provisions of title 10, United States Code, this Directive reissues reference (a) and establishes the Defense Advanced Research Projects Agency (hereafter referred to as "DARPA") with responsibilities, functions, authorities and relationships as outlined below.

B. MISSION

DARPA shall manage and direct the conduct of selected advanced basic and applied research and development projects for the Department of Defense.

C. ORGANIZATION AND MANAGEMENT

DARPA is established as a separate agency of the Department of Defense under the staff and operational direction of the Under Secretary of Defense for Research and Engineering. It shall consist of a Director and such subordinate organizational elements as are established by the Director within resources authorized by the Secretary of Defense.

D. RESPONSIBILITIES AND FUNCTIONS

The Director, DARPA shall:

1. Organize, direct, and manage the DARPA and all resources assigned to the DARPA.
2. Provide guidance and assistance, as appropriate, to all DoD Components and other U.S. Government activities on matters pertaining to the projects assigned to the DARPA.

3. Recommend to the Secretary of Defense, through the Under Secretary of Defense for Research and Engineering, the assignment of research projects to DARPA.

4. Arrange for the performance of and supervise the work connected with DARPA projects assigned to the Military Departments, other U.S. Government activities, individuals, private business entities, educational institutions, or research institutions, giving consideration to the primary functions of the Military Departments.

5. Engage in assigned advanced research projects.

6. Keep the Under Secretary of Defense for Research and Engineering, the Military Departments, the Joint Chiefs of Staff, and other DoD Agencies informed, as appropriate, on significant new developments, breakthroughs, and technological advances within assigned projects and on the status of such projects in order to facilitate early operational assignment.

7. Prepare and submit to the Assistant Secretary of Defense (Comptroller), in accordance with established procedures, the DARPA annual program-budget estimates, to include the assignment of appropriation program priorities.

8. Perform such other functions as may be assigned by the Under Secretary of Defense for Research and Engineering.

E. AUTHORITY

The Director, DARPA, is specifically delegated authority to:

1. Place funded work orders with the Military Departments and other DoD Components or directly with subordinate echelons of the Military Departments, after clearance with the Secretary of the Military Department concerned.

2. Authorize the allocation, as appropriate, of funds made available to DARPA for assigned advanced projects.

3. Establish for DARPA, the Military Departments, and other research and development activities, such procedures required in connection with work being performed for DARPA consistent with policies and instructions governing the Department of Defense.

4. Acquire or construct, through a Military Department or other U.S. Government agency, such research, development, and test facilities and equipment required to carry out his assignments and that may be approved by the Secretary of Defense in accordance with applicable statutes and DoD Directives.

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5. Exercise the administrative authorities contained in Enclosure 1 of this Directive.

F. RELATIONSHIPS

1. In the performance of his functions, the Director, DARPA, shall:

a. Coordinate actions, as appropriate, with the other Components of DoD having collateral or related functions in the field of his assigned responsibility.

b. Maintain active liaison for the exchange of information and advice in the field of his assigned responsibility with all DoD Components, non-DoD research and development institutions (including private business entities), educational institutions, and other U.S. Government activities.

c. Make full use of established facilities in the Office of the Secretary of Defense, other DoD Components, and other Governmental agencies rather than unnecessarily duplicating such facilities.

2. Officials of all DoD Components will provide support, within their respective fields of responsibility, to the Director, DARPA as may be necessary to carry out the assigned responsibilities and functions of his Agency.

G. ADMINISTRATION

1. The Director, DARPA, shall be a civilian selected by the Secretary of Defense.

2. DARPA shall be authorized such personnel, facilities, funds, and other administrative support as the Secretary of Defense deems necessary.

3. The Military Departments shall assign personnel to DARPA in accordance with approved authorizations and procedures for assignment to joint duty.

4. Administrative support required for DARPA will be provided by the Director, Washington Headquarters Services, and other DoD Components, as appropriate.

H. EFFECTIVE DATE

This Directive is effective immediately.

Enclosure - 1
Delegations of Authority



Deputy Secretary of Defense

6. Enter into and administer contracts, through a Military Department or other U.S. Government department or agency, as appropriate, for research and development, supplies, equipment, and services required to accomplish the mission of DARPA. To the extent that any law or Executive Order specifically limits the exercise of such authority to persons at a higher level in the Department of Defense, such authority will be exercised by the appropriate Under Secretary or Assistant Secretary of Defense.

7. Establish and use Imprest Funds for making small purchases of material and services, other than personal, when it is determined more advantageous and consistent with the best interest of the Government, in accordance with the provisions of DoD Instruction 5100.71, "Delegations of Authority and Regulations Relating to Cash Held at Personal Risk Including Imprest Funds," March 5, 1973 and the Joint Regulation of the General Services Administration/Treasury Department/General Accounting Office, entitled "For Small Purchases Utilizing Imprest Funds."

8. Authorize the publication of advertisements, notices, or proposals in public periodicals as required for the effective administration and operation of DARPA (44 USC 3702).

9. Promulgate the necessary security regulations for the protection of property and places under the jurisdiction of the Director, DARPA pursuant to subsections III.A. and V.B. of DoD Directive 5200.8, "Authority of Military Commanders Under the International Security Act of 1950 To Issue Security Orders and Regulations for the Protection of Property or Places Under Their Command," August 20, 1954.

10. Establish and maintain, for the functions assigned, an appropriate publications system for the promulgation of regulations, instructions, and reference documents, and changes thereto, pursuant to the policies and procedures prescribed in DoD Directive 5025.1, November 18, 1977.

new
11. In coordination with the Deputy Assistant Secretary of Defense (Administration), enter into interservice support agreements in accordance with DoD Directive 4000.19, "Basic Policies and Principles for Interservice, Interdepartmental and Interagency Support," March 27, 1972.

12. Establish and maintain appropriate Property Accounts for DARPA and appoint Boards of Survey, approve reports of survey, relieve personal liability, and drop accountability for DARPA property contained in the authorized Property Accounts that have been lost, damaged, stolen, destroyed, or otherwise rendered unserviceable, in accordance with applicable laws and regulations.

DELEGATIONS OF AUTHORITY

Pursuant to the authority vested in the Secretary of Defense, and subject to his direction, authority, and control, and in accordance with DoD policies, directives, and instructions, the Director, DARPA, or, in the absence of the Director the person acting for him, is hereby delegated authority as required in the administration and operation of DARPA to:

1. Designate any position in DARPA as a "sensitive" position, in accordance with the provisions of the Act of August 26, 1950, as amended (5 USC 7532); Executive Order 10450, dated April 27, 1953, as amended by Executive Orders 10491, 10531, 10458, 10550, and DoD Directive 5210.7, dated September 2, 1966.

2. Authorize and approve overtime work for DARPA civilian officers and employees in accordance with the provisions of the Federal Personnel Manual Supplement 990-1, section 550.111.

3. Authorize and approve:

a. Travel for DARPA civilian officers and employees in accordance with the Joint Travel Regulations, Volume 2, Department of Defense, Civilian Personnel;

b. Temporary duty travel only for military personnel assigned or detailed to DARPA in accordance with the Joint Travel Regulations, Volume I, Members of the Uniformed Services; and

c. Invitational travel to persons serving without compensation whose consultive, advisory, or other specialized technical services are required in a capacity that is directly related to, or in connection with, DARPA activities, pursuant to the provisions of USC 5703.

4. Approve the expenditure of funds available for travel by military personnel assigned or detailed to DARPA for expenses incident to attendance at meetings of technical, scientific, professional, or other similar organizations in such instances where the approval of the Secretary of Defense or his designee is required by law (37 USC 412). This authority cannot be re-delegated.

5. Develop, establish, and maintain an active and continuing Records Management Program, pursuant to the provisions of Section 506(b) of the Federal Records Act of 1950 (44 USC 3102), the Freedom of Information Act Program (5 USC 552) and the Privacy Act Program (5 USC 552a).

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The Director, DARPA, may redelegate these authorities, as appropriate, and in writing, except as otherwise specifically indicated above or as otherwise provided by law or regulation.

These delegations of authority are effective immediately.

FILE
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DEFENSE NUCLEAR AGENCY

The attached documents were prepared by the Defense Nuclear Agency for the Carter-Reagan Transition Team. Certain portions of the DNA transition briefing book are currently and properly classified within the meaning of Executive Order 12065 and are, therefore, exempt from release under 5 USC 552(b)(1) and (3). The recommendations on page 4, 5, 9, 27 and 32 of the document are considered to be "internal advice, recommendations, and subjective evaluations, as contrasted with factual matters," and are exempt from release under 5 U.S.C. 552(b)(5). Page 6 of the document describes the actions being taken by DNA and the Navy in connection with on-going litigation and is exempt under 5 USC 552(b)(5).

The Initial Denial Authority for DNA is RADM G. H. B. Shaffer, Deputy Director, Operations and Administration. Appeals may be addressed to Lt. Gen. Harry A. Griffith, Director, DNA.

Defense
Nuclear
Agency

briefing book

TRANSITION
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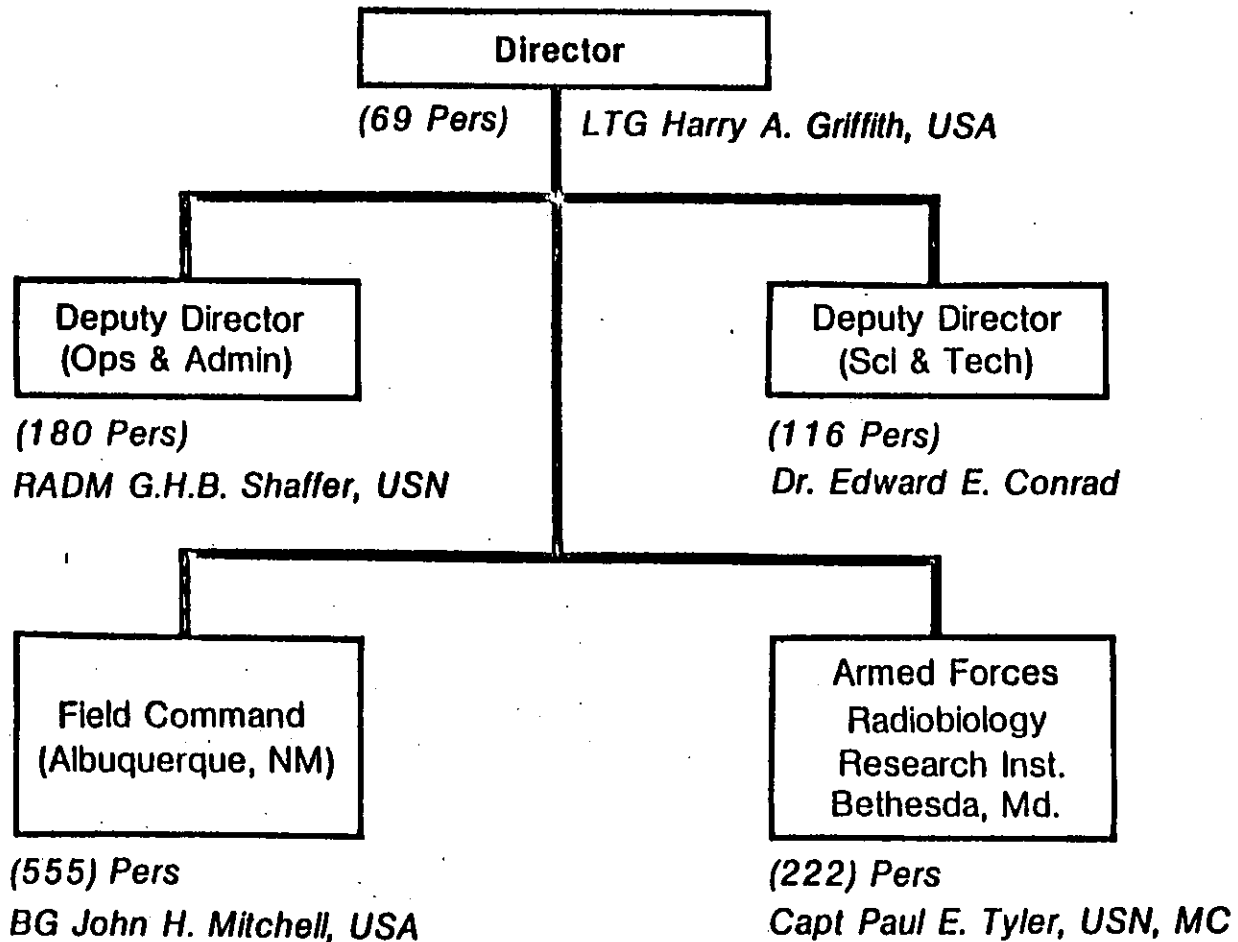
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MAJOR DNA FUNCTIONS

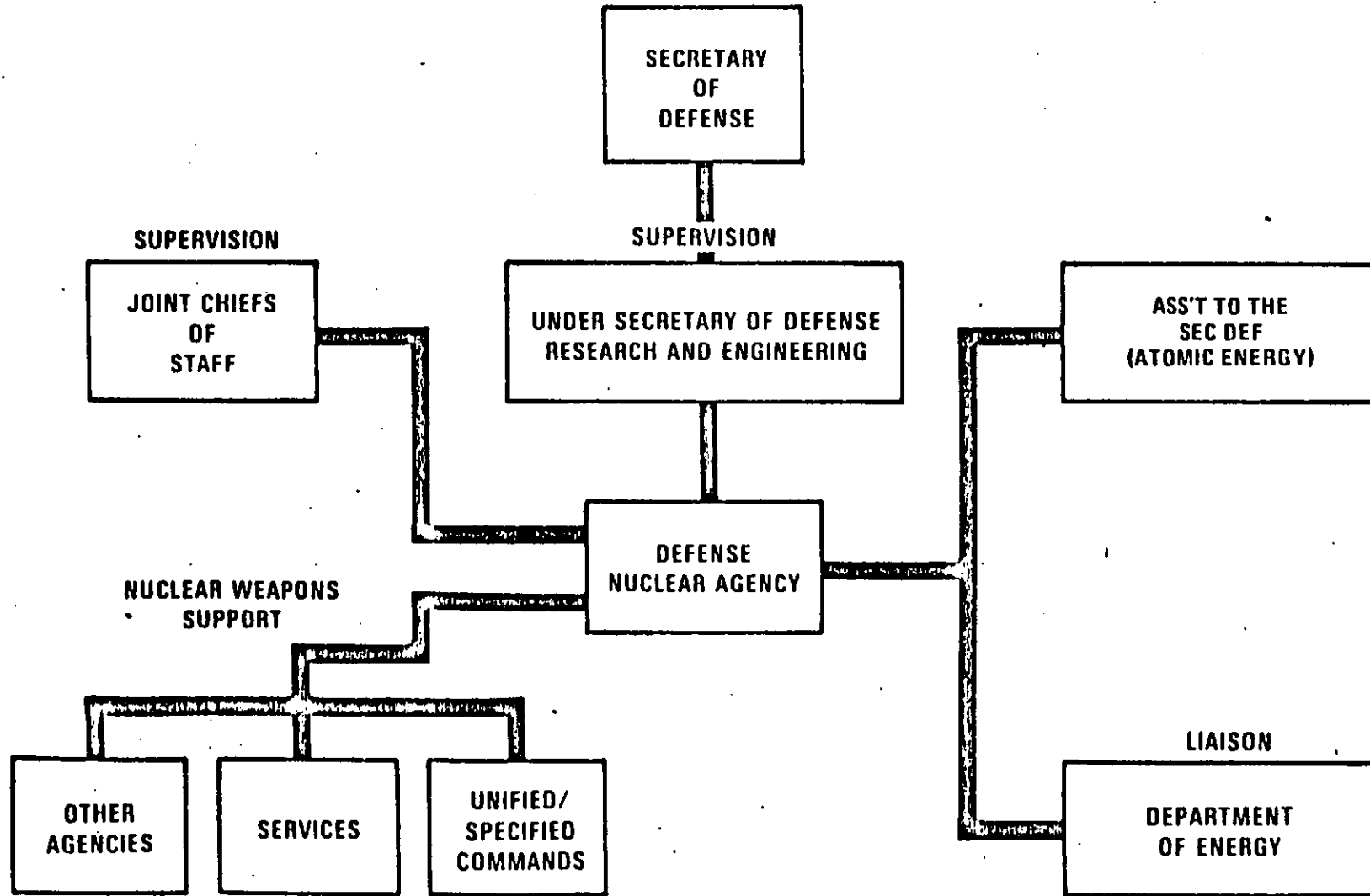
- o Conduct R&D in nuclear weapon effects:
 - Underground nuclear tests
 - High explosive tests
 - Pulse-power machines
 - Simulation experiments
 - Computer codes
- o Carry out all radiobiology research for DoD
- o Develop:
 - Effectiveness of nuclear weapons (ours and theirs)
 - Vulnerability and hardening of systems, forces, C³, etc.
 - Strategy and tactics for weapons use
 - Design inputs for U.S. systems
 - Targeting procedures, aids, etc.
 - Survivability of TNF
- o Manage nuclear weapons stockpile
- o Oversee nuclear weapons security
 - DoD Security Manual
 - Defense Nuclear Surety Inspections
 - Management of physical security
 - Terrorism/counterterrorism
 - Disable/Destruct
 - Overseas NEST
 - Security of TNF
- o Provide advice/assistance on all nuclear weapon issues to all DoD components
- o Execute specific nuclear weapon responsibilities:
 - National "Readiness to Test" program (Safeguard C)
 - JAIEG (Joint Atomic Information Exchange Group)
 - Nuclear Test Personnel Review
 - Ionizing Radiation Health Effects
 - Comprehensive Test Ban
 - Enewetak radiological cleanup
 - Nuclear Weapons Accident Exercises
 - JNACC (Joint Nuclear Accident Coordination Center)
 - Liaison with DoE

Defense Nuclear Agency

(1142 Pers; 44% Mil, 56% Civ)



DNA RELATIONSHIPS



6

1. SUBJECT: Level Funding of the DNA RDT&E Program.

2. BACKGROUND: During FY 1977-80, the DNA RDT&E program has been essentially level funded at just under \$200M in constant FY 1981 dollars. During that same period, DNA has assumed additional responsibilities, which require significant fiscal resources. Examples of these additional tasks are the Satellite X-Ray Test Facility (SXTF) program, the DoD Theater Nuclear Forces Survivability, Security, and Safety (TNFS) program, the Nuclear Test Personnel Review (NTPR) effort, an assessment of electromagnetic pulse (EMP) effects on tactical aircraft, support of a Navy nuclear weapon effects assessment effort, and a Pacific Command (PACOM) theater nuclear force survivability/vulnerability assessment. Years of level funding coupled with additional taskings have resulted in a major reduction of the Agency's basic nuclear weapon effects technology effort.

3. CURRENT STATUS: The added program efforts must continue in FY 1981 and for the foreseeable future. The DNA RDT&E submission for FY 1981 is \$203M. Recently, Decision Package Set (DPS) #212 reduced DNA's FY 1982 submission from \$240M to \$232M (reclama submitted).

4. ALTERNATIVES:

a. Continue Near Constant Dollar Level Funding. Accept a continued decline in basic research on nuclear weapons effects to respond to the critical new R&D responsibilities.

b. Provide 5% (or more) Real Growth. Restoration of the DNA FY 1982 submission level of \$240M would provide 5% real growth in that year. This level would restore some of the nuclear weapon effects technology base, as well as provide continued support of the SXTF, TNFS, NTPR, and the other critical efforts and would represent an initial step toward reversing a serious, adverse trend.

5. RECOMMENDATION:

Exemption 5

1. (U) SUBJECT: Underground Nuclear Testing

EXEMPTIONS 1 and 5.

Defense Nuclear Agency
 Budgetary Summary
 As of November 1980

(\$'s in Thousands)

	<u>FY 1981</u>	<u>FY 1982</u>
Research, Development, Test and Evaluation (6.2 Exploratory Development)	\$203,000	\$240,000
Military Construction (in support of RDT&E)	0	500
Operations and Maintenance	30,323	34,000
Procurement	<u>1,632</u>	<u>2,000</u>
Total Obligational Authority	\$235,055	\$276,500
Manpower Summary:	(Manpower in Units)	
Military Personnel (all Services)	504	516
Civilians (US Direct Hire)	<u>638</u>	<u>641</u>
Total Manpower Authority	1,142	1,157

1. SUBJECT: Emergency Disablement System (EDS)

2. BACKGROUND:

The Emergency Disablement System (EDS) renders nuclear weapons unusable on short notice. It was developed as an alternative to violent Emergency Destruction (ED) to prevent terrorist or host nation seizure of nuclear weapons. EDS was envisioned initially as a command initiated "strap on" device. This concept has evolved to an internal, command enabled, intruder activated, timer initiated system. From Dec 74 to Apr 75, USCINCEUR conducted an operational evaluation of 95 emergency disablement "strap on" devices. The final report resulted in a JCS request for a EUCOM Statement of Requirements, which was subsequently submitted and approved in June 76.

- The USAF was lead agency in developing EDS from June 1976 until November 1979 when responsibility was transferred to DNA. The reason for changing lead agencies was to balance the cost and effectiveness of EDS against other projects in Theater Nuclear Forces Survivability, Security and Safety (TNFS³). The EDS Project Officer Group met six times from fall 1976 through summer 1978. During that time, the concept of Employment and Military Characteristics were approved and published.

3. CURRENT STATUS:

- Changes in concept, software and hardware requirements resulted in a loss of program momentum. Initial RD&T fiscal allocations have been exhausted, and Sandia Laboratories, Albuquerque terminated funding in March 1980. The Services no longer budget for EDS as a separate item although funds are available from allocations for more general categories.

- USEUCOM has been advised that the original development cycle is concluded, and that three EDS actions are being pursued: compendium of documents on options and costs, development of Intruder Detection System (proof of concept model), and DoE assessment of disablement effectiveness.

4. ALTERNATIVES/RATIONALE:

- Original USCINCEUR support of EDS has not changed.

- The low priority of the program among the Services is reflected by their lack of fiscal support.

1. (U) SUBJECT: Magazine Penetration Delay (also known as Weapon Access Delay System).

Exemption 1

3. (U) CURRENT STATUS: Currently the Army, under the management of Project Manager - Nuclear Munitions and with funds primarily from DNA, is developing experimental magazine penetration delay concepts and equipment. Two magazine penetration delay systems are scheduled to undergo user feasibility tests in Europe beginning in Summer 1981. Concurrently, adversary testing will be ongoing in the U.S.

4. (U) ALTERNATIVES/RATIONALE: Prior to Summer 1980, little attention had been paid to magazine penetration delay, thus funds had to be taken from other programs for the FY 81 effort. Most of the funds being used by the Army during FY 81 are DNA 6.2 RDT&E dollars. The normal equipment development process may take 3-5 years before magazine penetration delay devices are installed at nuclear weapon storage sites. High priority effort would take less time. USAREUR AOs have also expressed the possibility that a NATO infrastructure R&D process may be used in order to meet NATO requirements for security equipment.

Exemption 5

~~(S)~~ (U) C³I. (Approximately 20 percent of DNA's annual TOA.)

Exemption 1

(U) High-altitude detonations would create continent-sized propagation disturbances that could negate or severely degrade satellite communications. DNA investigations of natural ionospheric disturbance, using a dedicated satellite and research radars, and of nuclear simulation, using high-altitude releases of barium, have led to the capability to predict nuclear disturbances and their impact. Propagation models test current satellite communications links, design future links, and develop mitigation schemes.

(U) DNA will continue theoretical and experimental effort to examine techniques to improve the performance of infrared surveillance, "adaptive HF," and VLF radio systems in nuclear environments and to mitigate nuclear effects on propagation at all frequencies.

(U) Significant portions of DoD communication needs are supplied by long-haul communication systems. We are concentrating on the EMP threats from high-altitude nuclear explosions because of their potential for causing widespread loss of communications. Our efforts have been directed not only toward understanding the response of communications networks and facilities, but also toward developing the methodologies to correct the identified problems.

Exemption 1

(U) We are continuing to address the satellite hardening issues comprehensively and with a financial commitment consistent with both the magnitude of the technical issues and the importance of satellite system survivability to national defense. The objectives of our RDT&E program are to improve our analysis and prediction capability, to develop test techniques for evaluating hardening solutions and, most importantly, to demonstrate the hardness of protected satellites.

~~(S)~~ (U) Strategic Systems. (Approximately 19 percent of DNA's annual TOA.)

(U) DNA is providing significant support to the Air Force in the development of MX, contributing directly to establishing system requirements and developing the technical data base to ensure adequate nuclear survivability. DNA support includes the missile system itself, the various basing concepts, and the supporting C³. Included in this effort are nuclear threat environment and hardness issues relative to the Low Altitude Defense System (LOADS). Extensive tests of MX/LOADS components will be conducted in dust, thermal, and X-ray environments.

(U) The MINERS IRON underground nuclear test--executed in October 1980--will provide important data on the X-ray response of a number of candidate materials for protection of the motor cases, interstages, and other external booster components. In addition, DNA is developing shielding materials which can provide greater resistance to erosion due to nuclear-lofted dust and ice during flyout.

(U) DNA is continuing to develop data to evaluate the hardness and survivability of the various MX basing options. While primary emphasis is on the horizontal shelter concept, we are continuing to investigate nuclear weapons effects issues pertinent to other options such as the vertical shelter. We are placing emphasis on quantifying and, where feasible, reducing the uncertainties associated with specific nuclear weapons effects which threaten the survival of the system. DNA will develop step-by-step guidelines to assist field engineers in understanding nuclear effects and in applying technology tools (including codes and simulators) to achieve a system design which is inherently hard.

(U) In support of future U.S. strategic systems, we conduct an advanced reentry vehicle technology program. This program provides methods for improving survival from an enemy anti-ballistic missile (ABM) encounter and from fratricide among our own warheads (i.e., the effects of one burst interfering with another arriving warhead). This is accomplished by evaluating the effect of nuclear-weapon-created radiation and dust/debris environments on U.S. reentry vehicles, exploring protective shield concepts, and verifying hardness using underground, laboratory, and field tests. An example is the testing of candidate fuze systems for dust hardness in support of Advanced Ballistic Reentry Systems (ABRES) programs.

(U) In addition, we are supporting the Air Force hardness assessment of the B-52 by improving airblast and thermal analytical methods and conducting field experiments. Our Advanced Aircraft Assessment and Protection program includes threat-level EMP investigation of advanced electronics of the B-52. In addition, DNA has been tasked by the Deputy Under Secretary for Strategic and Space Systems to take the lead in developing a unified position on EMP hardening technology and to work in conjunction with the Air Force in bringing about a joint technology program for hardening of strategic systems, particularly aircraft.

Exemption 1

(U) We are also supporting the planning for effective employment of strategic nuclear weapon systems. The major part of this effort is a research program to: (1) examine and evaluate alternative ways that our strategic nuclear weapons might be employed in a wide range of conflicts; (2) identify installations and activities that would be targeted in these employment options; and (3) determine the nature and level of damage that must be inflicted by our nuclear forces to achieve national goals.

Theater Nuclear Warfare. (Approximately 17 percent of DNA's annual TOA.)

The DNA theater nuclear program has made major contributions to the development of theater nuclear force modernization, planning and employment capabilities, and improved doctrinal concepts. The program features direct, rapid response to operational commanders' needs and to direction by OSD and the JCS. Further, DNA theater nuclear programs assist in strengthening the effectiveness of the NATO triad and U.S. strategic objectives through increased emphasis on deterrence by targeting Soviet projection forces.

Examples of ongoing efforts include:

-- The SecDef requested DNA participation in a study to determine what would be required to hold the Warsaw Pact Second Echelon divisions at risk; EUCOM/SHAPE have concurred that a DNA developed concept is relevant and achievable.

-- PACOM has requested DNA support in conducting a net assessment of U.S./Soviet vulnerabilities in the Pacific Theater with a major effort to support a Pacific Command Theater nuclear warfare improvement program.

-- The SecDef requested DNA manage a DoD Theater Nuclear Forces Survivability, Security and Safety (TNFS³) program which will identify essential elements of the TNF, validate technological, procedural, and operational improvement by test, exercise, and evaluation, and recommend appropriate improvements to provide TNF safety and security against possible sabotage and terrorist attacks and survivability in combat.

-- The CNO Executive Panel requested DNA assistance in an assessment of Navy policy for maritime theater nuclear warfare (MTNW) and the capability to implement that policy should deterrence fail. Present research efforts are focused on the technological alternatives offering the greatest leverage to improve Navy MTNW posture in the near- to mid-terms.

Theater nuclear force doctrine, together with employment planning concepts and capabilities, are evolving dynamically as exemplified above. DNA is playing a major role in that evolution.

Underground Nuclear Testing. (Approximately 13 percent of DNA's annual TOA.)

Because the capability to simulate nuclear detonations has limitations, our underground nuclear weapons effects test program remains a cornerstone of the DNA RDT&E effort to ensure nuclear hardness. This program consists of a comprehensive series of nuclear test events designed to obtain vital experimental information required to meet program objectives. Experiments are limited to those requirements which cannot be satisfied by simulation techniques. Specifically, we continue to rely on underground nuclear testing to provide design data and to validate the nuclear hardness of systems such as satellites, strategic missiles, and reentry vehicles. In addition, certain weapon environment information such as source-region EMP and cratering derives only from underground nuclear tests. Recent tests include HURON KING, conducted on 24 June 1980, and MINERS IRON, conducted on 31 October 1980. HURON LANDING is scheduled for execution during FY 1982. The HURON KING test exposed a full-size, operating, simulated spacecraft (called STARSAT) to X-rays to examine vulnerabilities. MINERS IRON evaluated the X-ray vulnerability of components of the MX missile, Advanced Ballistic Reentry Vehicle (ABRV), Advanced Maneuvering Reentry Vehicle (AMaRV), and other systems. HURON LANDING will evaluate, in a simulated exoatmospheric environment, components of the MX, ABRV, and Low Altitude Defense Systems.

Aboveground Simulation Testing. (Approximately 8 percent of DNA's annual TOA.)

In addition to underground nuclear testing, DNA pursues an extensive nuclear weapons effects simulator program. These simulators can test components repetitively--and, in some cases, full systems--more cost-effectively than underground testing. The continuing development of simulators reduces the need for underground nuclear testing--although it must be emphasized that, for the foreseeable future, certain tests can only be done underground. The simulation program consists of three areas: (1) laboratory radiation simulators; (2) high explosive testing; and (3) atmospheric phenomena simulation. For many years, laboratory radiation simulators have provided the means for assessing weapon system vulnerability to X-ray and electromagnetic pulse (EMP) effects. DNA has underway an effort to develop a satellite X-ray test facility (SXTF) beginning in FY 1984 as part of the nuclear hardening verification process for satellites (see the DNA C³I program). In FY 1982, a DNA high explosive test (MILL RACE) will include large-scale thermal simulation to expose military equipment simultaneously to simulated nuclear blast and thermal pulses. Small barium releases simulate the phenomena of atmospheric nuclear detonations which affect signal propagation in the ionosphere. Such an experiment will be conducted in 1981 to examine the duration of the effects upon signal propagation. Electronics can simulate some atmospheric nuclear phenomena effects on satellite communications. A device to produce such signal degradation is under construction and will be used to test satellite receivers and transmitters.

Biomedical Effects. (Approximately 6 percent of DNA's annual TOA.)

- Biomedical Research

DNA also researches the effects of nuclear weapons upon humans. Most of this basic research is accomplished at the Armed Forces Radiobiology Research Institute (AFRRI), Bethesda, Maryland, which uses animal experimentation to determine the response of cells, tissue, blood systems, nervous systems, etc., to relatively high levels of ionizing radiation.

- NTPR

More recently, DNA has been designated Executive Agent for DoD in directing the Nuclear Test Personnel Review (NTPR) program on behalf of approximately 210,000 former DoD participants in atmospheric nuclear weapons testing during 1945-62, subsequent underground tests, and occupational duties at Hiroshima and Nagasaki in 1945-46. This program responds to widespread public concern that exposure to low-level ionizing radiation at these tests may lead to adverse health effects. The effort currently requires over \$4 million in DNA RDT&E funds and 170 person-years of effort annually by DNA, the Services, and several contractors. We have been tasked to identify who was present at the tests, what they were doing, what radiological safety measures were taken, and what radiation doses were received.

Nuclear Readiness-to-Test Capability. (Approximately
6 percent of DNA's annual TOA.)

Under Safeguard C to the Limited Test Ban Treaty, the DoD will "maintain a basic capability to resume nuclear testing in the atmosphere should that be deemed essential to our national security." Tasked as the DoD coordinator for achieving a support program for the Safeguard, DNA's responsibilities include retention of Johnston Atoll, the primary U.S. overseas nuclear readiness-to-test facility, to ensure its availability in the event the U.S. resumes atmospheric testing. DNA, through our Field Command, maintains a small personnel force on Johnston Atoll to ensure this readiness.

DoD Physical Security Exploratory Development Program.
(Approximately 2 percent of DNA's annual TOA.)

In April 1977, the DDRE tasked DNA to develop, in cooperation with the Services, an exploratory development program that would identify the technologies and techniques applicable to nuclear weapons security. Currently, DNA is the only authorized source within DoD to initiate and fund exploratory research in physical security. This program focuses upon efforts that will scientifically validate standards and procedures to ensure their effectiveness and efficiency, to determine the optimum level of achievable security, and to identify, test, evaluate and validate concepts (from human factors through automated detection/deterrent systems) that will enhance nuclear weapon security against an increasing spectrum of threats.

Nuclear Stockpile Management. (Approximately 1 percent of DNA's annual TQA.)

DNA provides consolidated management and data control for the DoD nuclear weapons stockpile. This function includes implementing the annual nuclear weapon stockpile allocations directed by the JCS and providing assistance to the JCS in the annual preparation of the nuclear weapons deployment plan. Further, DNA maintains current information on the status of production, modification and retirement of weapons and associated components throughout the life cycle of the weapon. Instrumental to the performance of these functions is DNA's operation of the Worldwide Military Command and Control System (WWMCCS) remote terminal. Through this terminal, DNA manages the Nuclear Weapons Accounting System for the Joint Chiefs of Staff, verifies the accuracy of the data bases maintained at the primary and alternate NMCC, and provides information to the National Command Authority, JCS and other customers. Additionally, to respond to the increasing worldwide terrorist threat, DNA developed Stockpile Emergency Verification procedures which provide a positive confirmation that all weapons in the DoD nuclear weapons stockpile remain in the custody of DoD.

Nuclear Weapons Accident Exercises (NUWAX). (Approximately 1 percent of DNA's annual TOA.)

DNA plans and directs nuclear weapon accident exercises for DoD in conjunction with the Department of Energy (DOE) and the Federal Emergency Management Agency (FEMA). Major objectives are to evaluate and test selected response and coordination procedures that comprise this country's collective capability to deal with peacetime nuclear accidents. These exercises provide realistic training for joint DoD/DOE nuclear accident response organizations; determine the effectiveness of nuclear accident response equipment, procedures, techniques, directives and plans; ascertain the effectiveness of the coordination and communications of a multiservice and DOE accident response force; and actively exercise the civil and Federal interfaces which would be required if an actual accident occurred.

1. (U) SUBJECT: Status of the Withdrawal of Nuclear Warheads
from the NATO Guidelines Area

Exemptions 1 and 3

1. SUBJECT: National Level Response Capability

2. BACKGROUND:

- NUWAX-79 indicated that the then current national nuclear weapon accident response capability was in need of review.

- On 11 Apr 80, DNA recommended to DIR Joint Staff that consideration be given to establishing a National-level response force.

- Credible nuclear accident response options were generically grouped in terms of: Current matrix of response teams designated within each Service; single, highly trained response teams within each Service; single team, from one Service, performing primary response function for all of DoD; and a jointly constituted response team.

- Each Service member of the panel concluded that an enhanced Service capability maximizes advantages. The panel also recognized a requirement for additional Inter-Service support agreements.

- DNA proposed creation of an interim advisory team consisting of from six to twelve experts which would deploy on order to augment the Service team in the field.

- Panel recommendations were approved with minor changes by the Services at the action officer level.

- DNA forwarded recommendations to JCS on 26 Sep 80, where they were submitted to Services and DNA for formal (FLIMSY, BUFF, GREEN) concurrence.

- Extensive changes submitted by Services required major rewrite at the BUFF stage. These changes were incorporated at an AO Meeting and the proposed MOP was republished ("Re-BUFF") for Service coordination on 24 Nov 80.

3. CURRENT STATUS:

- DNA is prepared to field an augmentation team of experts on order.

- Final approval of an enhanced concept for nuclear weapon accident response is pending Service concurrence of the recirculated proposal ("Re-BUFF").

4. ALTERNATIVES/RATIONALE:

- On track.

1. SUBJECT: Joint DoD/FEMA Planning for Nuclear Weapons Accidents

2. BACKGROUND:

- On 28 May 80, DIR, FEMA requested DoD assistance in developing emergency plans for DoD nuclear facilities. Specifically requested were:

-- A list of all storage facilities and their locations.

-- Joint FEMA/DoD review of Emergency Planning Zones.

- On 2 Jan 80, ATSD(AE) emphasized DoD policy to cooperate with civilian agencies on radiological accident. He assured FEMA of DoD cooperation on 23 Jun, but emphasized the unique national security aspects involved.

- On 5 August, DNA was designated lead agency to develop a joint planning basis with FEMA. DNA requested FC/DNA to begin work on Emergency Planning Zone data on 26 Aug 80. Field Command's initial report was submitted on 17 Sep 80. The list of nuclear facilities, less nuclear weapons locations was provided to FEMA on 20 Oct 70.

- ATSD(AE) orally approved transmission of specific storage site data to FEMA on 21 Nov 80.

3. CURRENT STATUS:

- HQ DNA is preparing a prioritized list of actual and potential storage sites which will be sent to ATSD(AE) for retransmission to FEMA.

- Field Command, DNA is working on an illustrative site study similar to the four site specific surveys done by Sandia. The illustrative study should be completed in approximately 30 days.

- Input from the National Laboratory is pending tasking by DoE.

4. ALTERNATIVES/RATIONALE:

- On track.

1. SUBJECT: Plutonium (Pu) Storage

2. BACKGROUND:

- In July 1977, the Military Liaison Committee (MLC) approved a recommendation to increase storage limits for plutonium bearing weapons.

- The joint DoE/DoD Technical Publication, TP20-7, Nuclear Safety Criteria, still contains the original storage limits.

- DNA has agreed (18 Nov 80) to conduct a comprehensive study of the plutonium hazard and

- The ATSD(AE), Dr. Wade, has agreed (28 Mar 80) to chair the Steering Committee.

3. CURRENT STATUS:

- The Services are operating under the increased limits.

- TP20-7 must be changed to acknowledge current Service positions or the practice discontinued.

- DNA submitted study Terms of Reference (TOR) to ATSD(AE) for approval on 29 May 80.

4. ALTERNATIVES/RATIONALE:

- A meeting between ATSD(AE), Director of Military Applications (DoE) and Director, DNA is pending approval of the TOR.

- Participation by the National Laboratories is pending tasking by DoE.

- DNA envisions the study effort as having three elements.

-- Operational chaired by DNA.

-- Political/sociological chaired by a contractor.

-- Technical analysis chaired by Sandia Laboratories, Albuquerque.

- ATSD(AE) has expressed a desire for the study to be in two parts:

-- Short term (9-12 months).

-- Long term (total evaluation of all aspects of Pu limits for both transportation and storage).

1. (U) SUBJECT: Starbird Study

2. (U) BACKGROUND:

- On 27 Feb 79, the ATSD(AE) proposed a joint DoD/DoE analysis of DoD nuclear weapon requirements and related DoE capabilities. Gen Starbird was appointed Study Director, hence the name "Starbird Study."

- Meetings, briefings, and working group sessions were conducted during 1979 which culminated in approval of Terms of Reference on 2 Nov 79.

- In 1980, meetings continued during which consultants reviewed findings as they were developed.

- The final report was published 15 July 1980.

3. (U) CURRENT STATUS:

- The Starbird Study resulted in a variety of recommendations which are summarized in para 4.

- Responsibility for implementation of recommendations within DoD rests with ATSD(AE), and with ASDf for DoE.

Exemptions 1 and 3

- (U) The above recommendations involved DNA in the following specific actions:

-- Nuclear Weapons Development Guidance (NWDG), the DoD statement of qualitative requirements for the development of nuclear weapons.

- Annual Nuclear Weapons Safety Report to the President, prepared by DNA and transmitted through ATSD(AE).

- Membership on the Safety Committees of all weapon systems Project Officer Groups.

- Update DNA charter to include current activities.

- Provide staff assistance to ATSD(AE) on a variety of DNA mission related requirements.

1. SUBJECT: Nuclear Weapon Security Test and Evaluation Site (Development of a DoD mock nuclear weapon storage site required to support testing of security hardware, personnel, building designs, and procedure within the scope of a full-up nuclear weapon security system).
2. BACKGROUND: Current test programs emphasize only isolated laboratory testing of security hardware. Testing of developmental subsystems in an operational environment is rarely performed due to constraints at operational nuclear security sites. A mock site would allow validation and critically needed optimization of security systems and system components in a quasi operational environment.
3. CURRENT STATUS: DNA is presently briefing the Services on the requirements for a test site and site selection criteria. A recommended initial test site program, emphasizing tests related to small isolated Army European nuclear weapon storage site issues, is included in the briefing. Fort McClellan, Alabama, home of the U.S. Army Military Police School, is being recommended as the location for such a site.
4. ALTERNATIVES: An alternative is to construct a larger, multiservice site in the vicinity of Kirtland AFB, New Mexico (Albuquerque). The greater need of the Army to test security system elements in a small site setting and in a more realistic terrain environment than available in New Mexico results in the current emphasis away from the large site alternative.
5. RECOMMENDATIONS:

Exemption 5

1. SUBJECT: NUWAX-81

2. BACKGROUND:

- In April 1979, the first joint DoD/DoE Nuclear Weapon Accident Exercise (NUWAX-79) was conducted at the Nevada Test Site. As a result of the success and the lessons learned, the Assistant to the SecDef (Atomic Energy) directed DNA in June 1979, to take the lead in planning an expanded follow-on exercise (NUWAX-81).

- A total of \$2.3 million was budgeted for all aspects of the exercise. Various planning conferences and meetings have been held throughout 1980. Participating agencies included DoE, FEMA, the National Laboratories (LLL, SNL, LASL), the military Services, FCDNA, California State Office of Emergency Services and various civilian contractor organizations (EG&G, REECO, H&N, etc).

3. CURRENT STATUS:

- NUWAX-81 will be conducted between 19 April - 1 May 81 at the Nevada Test Site.

- Approximately 560 player/participants and controller/umpire personnel are involved in the actual exercise.

- Official observers will include representatives of Great Britain, Canada, Australia and New Zealand in their capacity as members of the Air Standardization Coordinating Committee (ASCC).

4. ALTERNATIVES:

- The scope of NUWAX-81 will be expanded to include significant involvement with National, state and local emergency response agencies. All nuclear accident response procedures will be exercised.

- Realism will be maximized to include the use of

- Short life radioactive material.

- Site preparation with "crashed" helicopter, "damaged" nuclear weapons, and personnel "casualties."

1. SUBJECT: Intrinsic Radiation (INRAD) Study

2. BACKGROUND:

- A growing public awareness of and concern for the hazards of low level, intrinsic radiation inherent in nuclear weapons has been increasing.

- The number and size of legal claims based upon exposure to alleged radiation has risen sharply.

- Previous risk estimates were minimal for low level exposure to stored nuclear materials. While the general view remains that the effects are insignificant, DoD has decided to verify a variety of associated aspects.

3. CURRENT STATUS:

- A joint DoD/DoE study has been initiated to review the impact of intrinsic radiation. The working group is chaired by DNA/OASO and includes representatives from DoE, OATSD(AE), DNA, JCS, the military Services, and the National Laboratories.

- The working group contains two sub-groups: Weapon and Environment, and Personnel Exposure.

4. ALTERNATIVES;

- Specific areas to be addressed in the study include:

- Identification of personnel who receive INRAD doses.

- INRAD output of current stockpile.

- Evaluation of Service programs, regulations, and procedures.

- INRAD implications to DoD (fiscal, manpower, operational, etc.).

- Impact on weapon design.

- The TOR for the study was approved on 12 Sep 80. The recommendations to be developed should be approved and implemented by September 1981. (Specific tasks and milestones are available as an enclosure if desired).

1. ~~X~~ SUBJECT: Overseas Nuclear Emergency Search Team (ONEST)

2. ~~X~~ BACKGROUND:

- (U) In response to the threat of nuclear terrorism in the United States, the Department of Energy developed a NEST capability.

- (U) Organizations include persons from DoE, DoD, the National Laboratories (LLL, LASL, and SNL), and DoE contractors (EG&G).

- (U) Capabilities include sophisticated threat assessment, highly technical nuclear search requirement; detailed diagnostics and render safe (disarm or destroy) procedures.

Exemption 1

- (U) Larger road block monitors were in production by mid-1980, and van/helicopter mountable pods were in procurement by the end of 1980.

3. ~~X~~ CURRENT STATUS:

Exemption 1

- (U) Training and maintenance are provided by quarterly visits from the DNA project officer and EG&G contractor personnel.

4. ~~X~~ ALTERNATIVES:

Exemption 1

- (U) Future program development will be based on experience gained from currently deployed capability.

1. SUBJECT: DoD Physical Security Management

2. BACKGROUND:

a. The current fragmentation of responsibilities, within the OSD, relative to the nuclear weapons security program makes it difficult for DNA to fulfill its responsibilities. It is essential that one element within OSD provide uniform policy guidance with respect to both nuclear security system implementation and the security research, development and acquisition process.

b. Under the provisions of an April 1974 Memorandum of Understanding (MOU) between the ATSD(AE) and the Assistant Secretary of Defense (Comptroller) (ASD(COMP)), the ATSD(AE) provides advice and assistance to the Deputy Assistant Secretary of Defense (Security Policy) (DASD(SP)) on matters concerning the protection of nuclear weapons. In 1978 the DASD(SP) became the Director, Security Plans and Programs (DUSD(PR)(SP&P)) for the Deputy Under Secretary of Defense for Policy Review (DUSD(PR)). The DUSD(PR)(SP&P) has policy responsibility across the broad spectrum of the security arena.

c. In April 1977, the Under Secretary of Defense for Research and Engineering (USDRE) tasked DNA to develop an exploratory development program which would identify the technology and techniques applicable to nuclear weapon security.

3. CURRENT STATUS:

a. Responsibilities divide among various OSD staff elements. The DUSD(PR) is responsible for the development of policies, standards, and procedures governing the physical security of nuclear weapons and devices. The ATSD(AE), being the principal staff assistant to SECDEF on atomic energy matters, is counted on to provide considerable advice and assistance on nuclear weapons matters to SECDEF, Military Departments, JCS, and others. Another DNA responsibility is to develop, prepare, publish design standards, and investigate/recommend standards and operating procedures for DoD.

b. There is a fragmentation within DoD involving nuclear weapons security program. This fragmentation has had a serious impact on development, procurement, installation, and maintenance of physical security equipment. To illustrate the problem, currently a proliferation of working groups addresses various aspects of physical security. We have a DoD Physical Security Review Board (PSRB), reporting to the Director, Security Plans and Programs (DUSD(PR)(SP&P)); Physical Security Equipment Action Group (PSEAG) reporting

to the Under Secretary of Defense for Research and Engineering (USDRE); the Tri-Service Requirements Working Group (PSRWG) and the Security Equipment Integration Working Group (SEIWG) reporting to the PSEAG.

c. In cooperation with the Army, Navy, and Air Force, DNA now funds and manages the nuclear weapons security exploratory development program.

4. ALTERNATIVES/RATIONALE:

a. Responsibility for nuclear security policy should be vested in the activity most knowledgeable of the total DoD nuclear program. Management would be strengthened and manpower savings realized if the nuclear security policy functions were assigned to DNA, under the staff supervision of the ATSD(AE). Many items of equipment developed for nuclear security will have broader application for other physical security requirements. In January 1978 an ATSD(AE) memorandum was prepared for the Secretary of Defense recommending that the 1974 MOU be terminated. To date, however, a decision has not been announced.

b. Technology and techniques developed in the nuclear security exploratory development program can provide scientifically validated direction for policy implementation. Accordingly, the physical security working groups (i.e., TSRWG and SEIWG) should be designated as subgroups of the PSEAG.

5. RECOMMENDATIONS:

Exemption 5

1. (U) SUBJECT: Special Nuclear Materials (SNM)
2. ~~ISRL~~ (U) BACKGROUND: SNM consists of highly enriched uranium (HEU), plutonium (Pu), and tritium (T).

Exemptions 1 and 3

(U) The JCS, continuing to be unsuccessful in having their position incorporated in OSD documents, released a strongly worded JCSM on 22 Jul 80.

3. ~~(S)~~ (U) CURRENT STATUS:

Exemptions 1 and 3

- (U) Solutions to mid-term shortfall are long-lead time N-Reactor and PUREX, L & R Reactor and new reactor.

Exemptions 1 and 3

4. (U) ALTERNATIVES/RATIONALE:

- Future of SNM availability problem lies in the degree of aggression exerted by DoD and DoE on Congressional budget office to pursue approval of long lead term actions to prevent mid-term shortfalls.

1. (U) SUBJECT: Insertable Nuclear Components (INC) Technology

Exemptions 1 and 3

4. (U) ALTERNATIVES/RATIONALE:

- DOE has expressed interest in preserving the technology for new weapons systems.

- DoD has traditionally been willing to adopt a wait and see attitude.

DEFENSE CONTRACT AUDIT AGENCY

BRIEFING BOOK

DEFENSE CONTRACT AUDIT AGENCY

CURRENT ISSUES

This Briefing Book provides information on the Defense Contract Audit Agency. Details on the mission, organization, personnel, primary activities and issues are provided.

Two aspects of Agency operations are considered to be of significance at this time. First, although faced with continued workload increases due to greater procurement activity, DCAA resources have not kept pace with audit requirements. Second, legislative proposals to include DCAA in a DoD Inspector General organization should be firmly resisted.

The present hiring limitations and recent budget decisions have greatly impacted DCAA ability to meet ever-increasing contract audit requirements. In order to adequately meet these requirements DCAA should be provided sufficient resources to maintain audit effort at the basic level contemplated in the initial FY 81 President's Budget.

Notwithstanding approval for a partial exemption from the hiring freeze, we feel that our staffing levels have declined to the point where they have become a serious hindrance to the accomplishment of the DoD contract audit mission. Since the start of the freeze, we have lost over 325 full-time employees which at the replacement rate of one for every two lost equates to an onboard strength of about 3,400 versus the 3,575 or a reduction of 5 percent below the level authorized for both fiscal year 1980 and 1981. Through management action early in the freeze, we were able to shift our personnel to cover key vacancies throughout the Agency. Now, however, because of the significant decline in our employment levels, we no longer have the capability to reassign our people, particularly in view of the geographic dispersion of our offices and the high costs of relocating our people.

On the other end of the scale, our workload is completely dependent upon the DoD procurement levels appropriated by Congress. Previous increases in appropriation levels are now materializing into an increased workload on this Agency at the same time that we are undergoing the current hiring freeze. Further increases in DoD procurements are expected which will demand an even greater audit capability. Concurrently, the audit services that we provide to some 30 non-DoD agencies, such as the National Aeronautics and Space Administration, the Department of Energy, the Environmental Protection Agency and the Foreign Military Sales program have also increased. This was recognized during last year's budget review, whereby we were authorized an additional thirty-six positions to cover this additional work.

A hiring freeze is particularly difficult for DCAA because the vast majority of our hires are new Government employees at the GS-5 and GS-7

levels. The subsequent training period required to convert these individuals into productive contract auditors is significant. Thus, the effective lead time for the total hiring process is lengthy.

During FY 80, similar to past years, the Agency returned \$27 in contract cost savings for every \$1 expended on audit operations. In view of DCAA's excellent record of audit savings versus operating costs, it makes good business sense to provide additional funding and spaces to DCAA. From an investment standpoint and considering the increased emphasis on economy and efficiency of Government expenditures, we explored the possible return from providing DCAA resources at levels of 10 percent, 20 percent, and 30 percent in excess of the FY 81 end strength authorizations. Our detailed evaluation of this approach is presented in the recurring issues section in the enclosure. (See H-5)

In a report to the Congress and the Secretary of Defense dated 1 May 1980, the Task Force on Evaluation of Audit, Inspection, and Investigative Components of the Department of Defense concluded that the contract audit function should remain both independent of acquisition and separate from internal auditing. This means that DCAA should not be any more closely aligned with officials who are responsible for placing and administering contracts, or with those who make internal audits or investigations of those contracting and contract administration functions. When drafting a proposal for an Inspector General for the Department of Defense in 1978, the Senate Governmental Affairs Committee had also reached the same tentative conclusion, recognizing the unique characteristics of the DCAA contract audit functions.

In 1980, however, bills were introduced in both the House and the Senate which would have transferred DCAA to an Office of Inspector General for the Department of Defense, along with a part of the Department's internal audit and investigative resources. These bills would have placed DCAA into a position where the contract audit function could not be performed as efficiently and effectively in support of the Defense and civil acquisition programs. The House bill was passed on 17 November. Sponsors of such legislation have promised renewed efforts in the next session.

As explained in the May 1980 Task Force report, contract auditing has evolved in the Federal Government, and in the Department of Defense particularly, to serve a distinctive dual role that needs to be preserved. DCAA serves not only as a key advisor to contracting officers but also as a vital internal control mechanism in the acquisition process. Operationally, the contract auditors provide financial advice on proposed and existing contracts and contractors. However, DCAA should remain organizationally independent of the officials who are responsible for considering the advice in reaching contracting decisions. As the Task Force report states, requiring contracting officers to consider carefully the advice of independent contract auditors minimizes risks in acquisition and serves as a catalyst to improve the acquisition process.

On the other hand, the Task Force properly decided that a crucial balance would be upset if DCAA were aligned more closely with those who must evaluate acquisition decisions and conduct investigations of alleged improper acts of Federal officials and contractors. The present cooperative but separate status of contract auditors assures that internal auditors and investigators can be objective in their views of acquisition, and helps to avoid industry reactions that could seriously hamper the contract audit work in cases where there is no suspicion of wrongdoing. This arrangement also recognizes the need for timely, responsive contract audit services to support crucial contracting schedules, and it leaves internal auditors and investigators free of operational concerns.

In response to other recommendations of the Task Force, the Department of Defense is considering an internal reorganization to place the internal auditors and investigators of the Office of the Secretary under a single new official who can devote full-time attention to their work. This initiative is being addressed more fully in briefing papers of the Comptroller and the General Counsel. The Defense Contract Audit Agency would not be a part of such a reorganization.

We believe that contract auditing would be hampered, not enhanced, if it were to be aligned more closely with internal auditing, investigative, or contracting operations. More appropriate means of enhancing the recognition of contract auditing in the Federal Government are available by assigning the Defense Contract Audit Agency Government-wide contract audit responsibility. In addition, other Governmental audit organizations should be granted Government-wide audit responsibilities for such areas as health service contracts and grants, educational grants, etc.

DEFENSE CONTRACT AUDIT AGENCY

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DEFENSE CONTRACT AUDIT AGENCY

MISSION STATEMENT AND ORGANIZATIONAL STRUCTURE

In 1965, the Secretary of Defense consolidated the contract audit functions of the military services (Army Audit Agency, Naval Audit Service, and Air Force Auditor General) into a single DoD organization, the Defense Contract Audit Agency (DCAA). The Director of the Agency, Mr. Frederick Neuman is responsible to the Assistant Secretary of Defense (Comptroller).

DCAA's mission as stated in its charter, DoD Directive 5105.36, is to perform all necessary contract audits for the Department of Defense and provide accounting and financial advisory service on contracts and subcontracts to all DoD components responsible for procurement and contract administration. These services are provided in connection with the negotiation, administration and settlement of Government contracts, and subcontracts. Prior to 1965, contract audit services in the Department of Defense were performed by each of the military services. Consolidation of this mission within DCAA provided for uniformity in the application of contract audits in the DoD.

In addition to providing such services to DoD components, DCAA also provides services to various other Government agencies who have contracts or pending acquisitions at contractor locations where DCAA auditors are performing DoD work. Among these organizations are NASA, Department of Energy, Environmental Protection Agency, Department of Transportation, Department of Health and Human Services, and the Interior Department.

DCAA is headquartered at Cameron Station, Alexandria, Virginia and contains major operating elements of resources, legal, policy, and operations. The Headquarters organization also provides direct assistance and support to the Office of the Secretary of Defense. For example, DCAA furnishes representatives on various Defense Acquisition Regulation subcommittees, counsels on matters in connection with contractor financial condition, contributes recommendations on procurement policy, and advises on affairs dealing with the financial management of weapons systems.

DCAA field operations are conducted through six regional offices; Atlanta, Boston, Chicago, Los Angeles, Philadelphia, and San Francisco. These regions supervise over 400 field audit offices throughout the United States and overseas. These 400 offices are classified into four types:

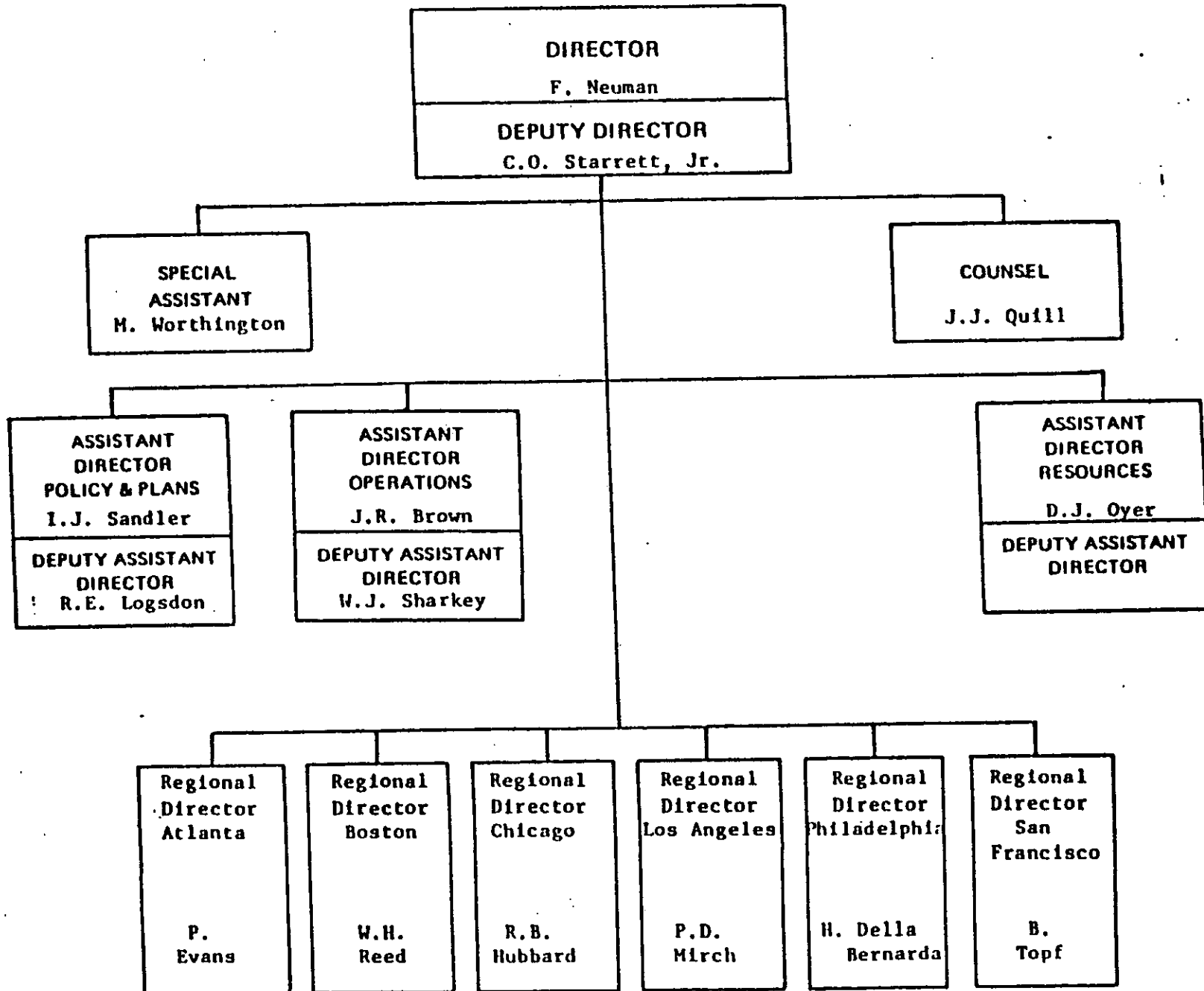
1. Resident Office -- Responsible for and located at a major contractor's plant.

2. Branch Office -- Responsible for the DCAA mission in all contractor locations within a designated geographical area except for those assigned to resident and related suboffices.

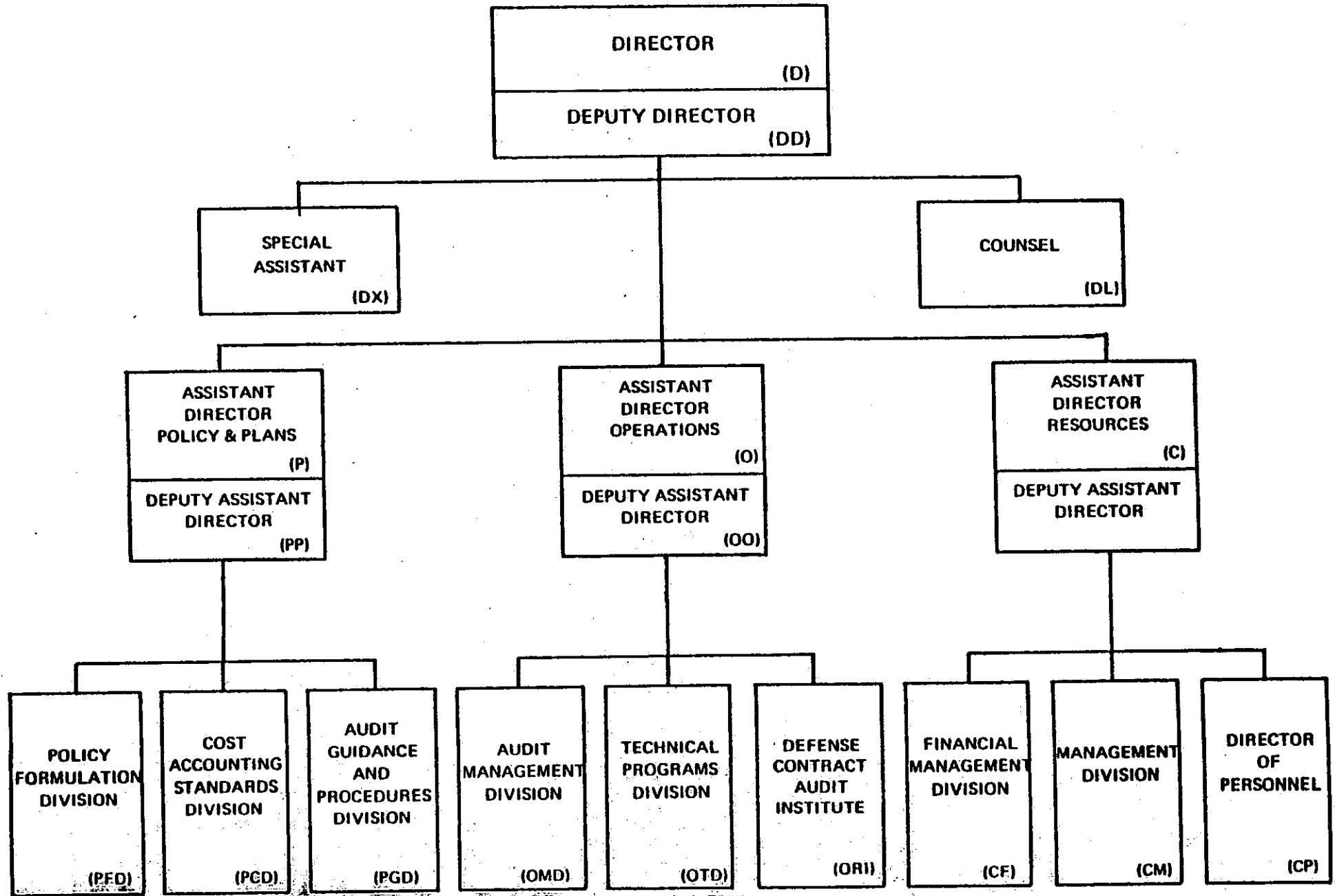
3. Suboffices are operated as an extension of a branch or resident office in order to provide on-site audit effort.

4. Liaison Office -- Responsible for coordinating audit matters with procurement or contract administration offices.

DEFENSE CONTRACT AUDIT AGENCY

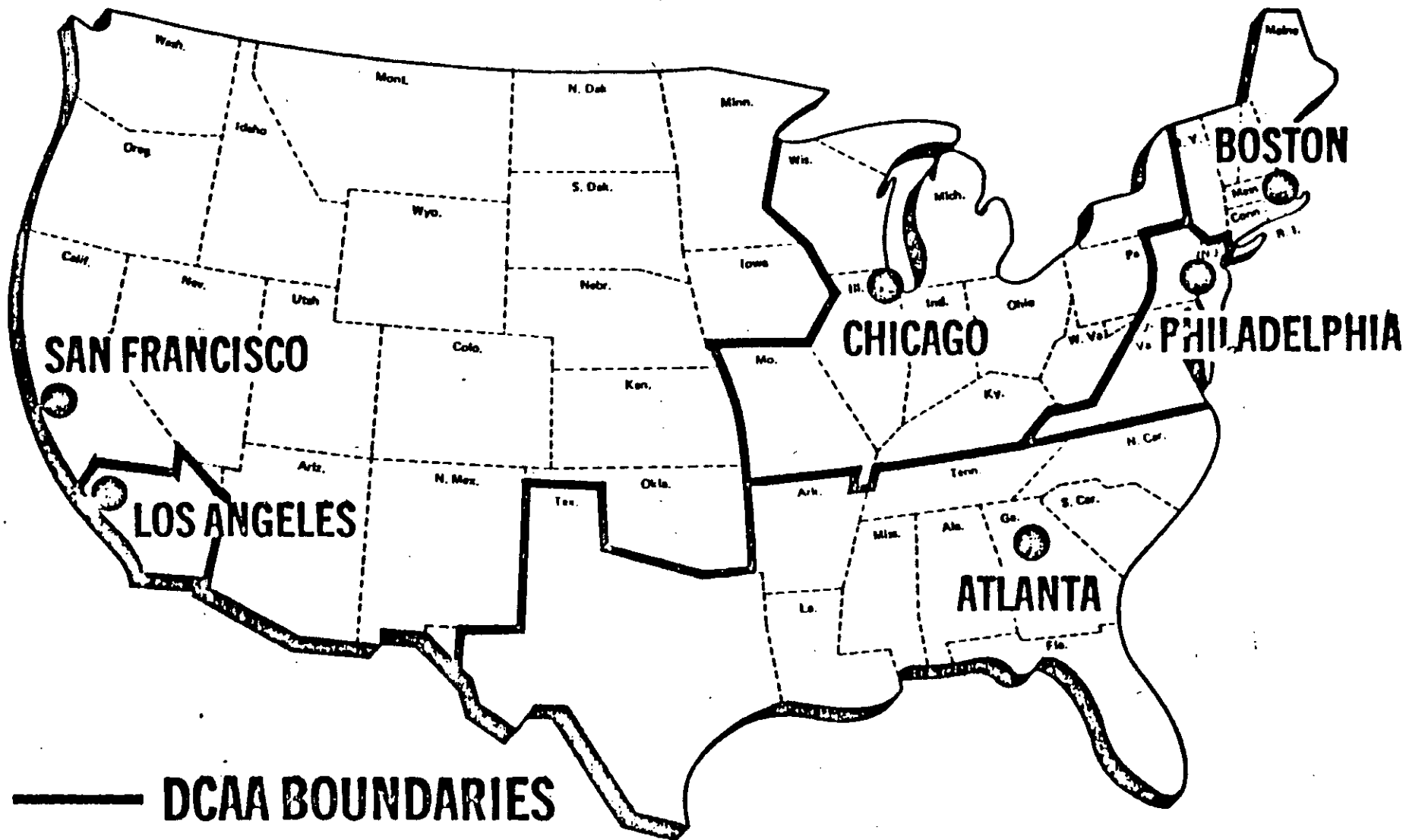


HEADQUARTERS, DEFENSE CONTRACT AUDIT AGENCY



A-4

REGIONAL BOUNDARIES



— DCAA BOUNDARIES

⊙ DCAA REGIONAL HEADQUARTERS

PERSONNEL DISTRIBUTION
(30 SEPTEMBER 1980)

	<u>Nr. Offices</u>	<u>Actual Strength</u>	<u>Percent</u>
Headquarters, DCAA	1	103	3.0
Regional Headquarters Offices	6	238	6.9
Resident Offices Established at Contractor Locations when Audit Workload Justifies the Assignment of a Permanent Staff of Auditors	77	1,151	33.5
Branch Offices Strategically Situated to Handle All DoD Contract Audit Work Within An Assigned Geographical Area on a Mobile Basis.	61	1,158	33.6
Suboffices One to Five Man Offices Operating as an Extension of a Branch or Resident Office to Provide On-site Contract Audit on a Full-Time Basis.	264	772	22.4
Liaison Offices Located at DoD Procurement or Contract Administration Offices to Provide Effective Communication Between Procurement and Contract Audit.	2	1	
Contract Audit Institute Located in Memphis Tennessee to Provide Formal Staff Training in Subjects Ranging From Basic Orientation Courses To Various Advanced Audit Techniques.	1	20	.6
TOTAL	<u>412</u>	<u>3,443</u>	<u>100.0</u>

HEADQUARTERS ORGANIZATIONAL STATEMENTS

OFFICE OF THE DIRECTOR

A. DIRECTOR

Exercises world-wide direction of DCAA in performing all contract audits for DoD and other Government agencies upon request. Reports to the Secretary of Defense, through the Assistant Secretary of Defense (Comptroller).

B. DEPUTY DIRECTOR

Serves as principal assistant to the Director in all phases of DCAA management and operations.

C. COUNSEL

Provides legal and legislative advice to the Director and to all members of his staff. Has primary responsibility for all legal matters relating to contract audits in DoD, including legal sufficiency of directives, instructions, regulations, determinations, and related correspondence.

D. SPECIAL ASSISTANT

Develops plans and policies affecting multiple DCAA functions and activities. Reviews or prepares policy papers and documents formulated within the Office of the Director. Serves as Agency public affairs officer and as such is the principal point of contact with representatives of the media. Serves as Agency's Equal Employment Opportunity Officer.

E. DETACHMENT DIRECTOR

Directs the overall planning, management, and execution of world-wide DCAA contract audits of compartmented programs. Directs and manages all resources and staff assigned to the Detachment.

OFFICE OF ASSISTANT DIRECTOR, OPERATIONS

1. Exercises technical staff supervision over the contract audit operations carried out by six regional offices and 350 field audit offices (FAOs) throughout the world.

2. Provides technical guidance and direction to the Agency for field contract audit operations, including reimbursable audit services provided to non-Defense agencies and foreign governments.

3. Directs the development of Agency audit objectives, programs, operational schedules, and priorities to assure effective accomplishment of field contract audit operations. Directs periodic evaluation of program accomplishments.

4. Administers the Agency's professional development and training programs including the centralized research and training facility, Defense Contract Audit Institute (DCAI), located at Memphis, Tennessee.

DEFENSE CONTRACT AUDIT INSTITUTE

OFFICE OF THE ASSISTANT DIRECTOR, OPERATIONS

A. General

The Defense Contract Audit Institute (DCAI) is located at the Defense Depot-Memphis, but is under the supervision and direction of the Assistant Director, Operations, Headquarters, DCAA. Three branches are located at the Institute: (i) Training Branch; (ii) Research Branch; and (iii) ADP Technical Support Branch.

B. Training Branch

1. Directs and controls: (i) development of new training courses and maintenance of existing courses; (ii) technical content of courses; (iii) priorities/timeframes for designing or modifying courses; and (iv) development/application of new instructional techniques to be incorporated into DCAI or regional courses.

2. Provides policy guidance to regions regarding local training and educational programs. Coordinates and approves regionally developed courses.

3. Conducts surveys to obtain and analyze Agency-wide training requirements. Develops annual training plan/budget for approval by Director.

4. Evaluates the quality and effectiveness of regional training and development programs.

5. Defines and maintains auditor developmental profiles which identify the accounting knowledges and technical/managerial skills required for successful performance or advancement within the auditor career field.

C. Research and Development Branch

1. Conducts research and studies into scientific, business, and professional developments applicable to accounting/auditing to identify, enhance, and implement those which can increase the effectiveness of contract audits.

2. Provides guidance and assistance in audit situations involving complex application of statistical sampling, correlation analysis, improvement curves, and similar advanced/improved audit techniques.

D. ADP Technical Support Branch

1. Prepares guidance and implements techniques/procedures and audit programs for assessing the adequacy of contractors' EDP general and application controls, and ensures that guidance conforms to AICPA and GAO standards.

2. Develops and implements (by installing on contractors' computer systems) software which can be used in sampling and retrieving data which are processed in contractors' systems in order to verify that system integrity is established and maintained to a degree sufficient to preclude erroneous or fraudulent actions detrimental to Government's interests.

OFFICE OF THE ASSISTANT DIRECTOR, POLICY AND PLANS

1. Directs the formulation, development, and issuance of contract audit policy for the Agency, including procedures, standards, and guidelines for the audit of Defense contracts, as well as reimbursable audit services.

2. Responsible for the overall planning, direction, coordination, and control of assigned divisions and activities, including policy formulation, audit guidance and procedures, and cost accounting standards.

3. Provides technical guidance and decisions to the six regional offices on audit policy, Defense Acquisition Regulation (DAR) cost principles, and accounting principles.

4. Directs development of Agency policy and instructions for the field review of contractor's disclosure statements and reviews to determine compliance with CASB standards.

5. Oversees the providing of expert testimony in Armed Services Board of Contract Appeals (ASBCA) or Court of Claims cases.

6. Directs the development of long-range plans to improve the Agency's effectiveness.

7. Directs and maintains liaison with FASB, AICPA, CASB, GAO, and other governmental and professional organizations.

OFFICE OF THE ASSISTANT DIRECTOR, RESOURCES

1. Acts for and exercises authority of the Director, DCAA, in the formulation, direction, and execution of plans, programs, policies, and procedures related to the management of DCAA resources, including financial management, personnel management and administration, automatic data processing (ADP), information management, and general management/administrative activities.

2. Directs and manages the activities of: Financial Management Division; Management Division; and Office of the Director of Personnel.

3. Directs the development, execution, and control of the DCAA portion of the DoD Programming System, including the development of short-range (one year) and long-range (5 to 7 years) objectives of the Agency and the alignment and control of resources requirements.

4. Directs coordination and execution of DoD-wide financial and other management programs required by higher authority.

5. Directs the execution and control over the negotiation and administration of host-tenant agreements with DoD and other Government agencies furnishing support services to DCAA organizational elements.

6. Serves as the final Agency appeal level regarding release of DCAA information to the public, under DCAA Regulation 5410.5, Availability to the Public of Defense Contract Audit Agency Information.

DIRECTOR OF PERSONNEL

OFFICE OF THE ASSISTANT DIRECTOR, RESOURCES

1. Develops and directs the execution of DCAA personnel management plans, programs, policies, and procedures relating to normal personnel areas.

2. Provides technical guidance in the implementation of the Agency's Management Development Program.

3. Exercises staff supervision over regional office personnel programs in assigned functional areas.

4. Conducts personnel research in assigned functional area to test basic principles of Agency personnel policies and practices.

FINANCIAL MANAGEMENT DIVISION

OFFICE OF THE ASSISTANT DIRECTOR, RESOURCES

A. Budget and Manpower Branch

1. Develops and executes plans, policies, and procedures relating to the DCAA budget and staffing programs.
2. Formulates annual and supplemental budget estimates of funding and staffing requirements for submission to OSD, OMB and Congressional review authorities.
3. Develops, plans, and administers the Agency-wide operating budget. Issues operating budget authorization to Agency components. Establishes and maintains financial controls over appropriated and reimbursable funds.
4. Analyzes fund utilization and prepares reports to Agency top management highlighting performance and significant factors in administering the operating budget.
5. Monitors distribution of available staffing resources. Issues staffing authorizations and coordinates the review, approval, and adjustment of component tables of authorized strength. Develops justification material on workload indicators, projected staffing utilization, productivity, and workload backlog used in budget and programming presentations to top Agency officials, OSD, OMB and the Congress.

B. Accounting Branch

1. Develops plans, policies, and procedures to meet the accounting requirements of Headquarters, field components, DoD, GAO, OMB, Treasury and the Congress.
2. Implements and revises the Agency's accounting system through issuance of the DCAA Accounting Manual, directives, and memorandums. Evaluates changes in legislation, and in regulations and directives of OSD, OMB, Treasury and GAO, for accounting implications.
3. Directs the execution of day-to-day operations of the Headquarters accounting system; exercises staff supervision over regional office accounting operations.
4. Manages the Agency's accounting program. Maintains liaison with accounting and management personnel in OSD, DLA, OMB, GAO, and other non-Defense agencies who use the Agency's audit services on a reimbursable basis in order to plan, direct, and appraise the effectiveness of the Agency's accounting program.

MANAGEMENT DIVISION

OFFICE OF ASSISTANT DIRECTOR, RESOURCES

1. The Management Division encompasses a broad spectrum of management and administrative programs and systems. In each of these functional areas, the division is responsible for (i) developing and issuing policy guidance to Headquarters and field elements; (ii) designing, implementing, evaluating, and in some cases, operating the required management/administrative systems; and (iii) maintaining liaison with offices of OSD and other Government agencies such as GSA, OMB, and OPM which promulgate program policy for the Executive Branch. The major functional responsibilities of each organizational element are set forth below.

2. The Division Chief exercises overall management direction and control of division activities and provides advice and assistance to Agency's executive and regional staff on assigned programs. In addition the Agency's Editor is assigned to the Division Chief's staff with responsibility for publishing the "DCAA Bulletin" and providing editorial services to Headquarters staff elements and guidance to regional offices.

3. The Systems/Analysis Branch develops and directs Agency programs/systems for identifying and reporting annual staffing requirements. Based on analysis of relative volume and priority of workload, and responsiveness to Agency's audit program objectives, determines appropriate distribution of resources. Evaluates Agency's requirements for automatic data processing support, services and equipment. Conducts necessary analysis to determine most cost effective response to requirements, and accomplishes the required acquisition actions. Provides technical support to Agency's Senior ADP Policy Official and to regional offices/HQ staff elements.

4. The Security Branch develops policies and procedures for the Personnel Security Program, supervises its implementation, and administers portions of the program on a centralized basis. Develops policies, procedures, and administers the Agency's Information Security Program, including: (i) prevention of unwarranted classification, overclassification, or underclassification of information; (ii) prompt and progressive downgrading of classified material; (iii) prevention of unauthorized disclosure of classified material or material of a contractor-sensitive nature; and (iv) investigation of possible loss and/or compromise of classified information.

5. The Records Management Branch administers Agency records management program and develops policies and procedures encompassing: (i) records retention and disposal; (ii) document reproduction/retrieval systems; (iii) correspondence management; and (iv) reports control. Develops policies/procedures, and administers program for release of DCAA information requested under the Freedom of Information Act, and monitors implementation of the Privacy Act of 1974. Processes all requests submitted to Headquarters under FOIA, and coordinates action involving requests that require multiple-regional responses.

SUMMARY OF AUDIT ACTIVITIES

DCAA audit workload consists primarily of two types of audits. First, presaward reviews, which are made prior to contract award, include review of cost accounting standards disclosure statements, cost accounting standards impact statements, and pricing proposals. Pricing proposal activity is a substantial amount of our workload approximating 44 percent of all direct audit effort. The second type of audit is entitled postaward reviews and includes compliance with cost accounting standards, incurred cost audits, terminations, adjustment claims, progress payments, and defective pricing reviews. These audits are performed after contract award. The incurred cost audits in this category account for approximately 41 percent of all direct audit effort. Miscellaneous direct audit effort includes procurement liaison, attendance at negotiation conferences, the contract audit coordination program, and liaison with the General Accounting Office. The schedules in this section outline workload by categories of audits for the years FY 79 through estimates for FY 82.

Agency performance in the most recent fiscal year includes \$36 billion of incurred costs audited and a rate of auditing of \$21,000 per hour. During the same period, over 31,000 contract proposals were reviewed and these totalled approximately \$112 billion. The Agency budget is approximately \$110 million per year. When compared to the savings generated by our audits a return on investment in the Agency amounts to approximately \$33 for every \$1 invested. Savings are calculated in a very conservative manner. We do not take credit for savings unless finalized negotiation memoranda prove conclusively that the audit resulted in a savings. When more than one proposal is submitted by contractors bidding on a particular contract, the only savings eventually counted are those by the successful bidder and then only on the basis of negotiation memorandum results. Due to insufficient staffing during the past several years a backlog of incurred cost audits has increased consistently. The schedules in this section show the significant increase in backlog effort which has occurred.

Agency Performance

(FY 76 - FY 82)

<u>Incurring Costs</u>	<u>FY 80</u>	<u>FY 79</u>	<u>FY 78</u>	<u>FY 77</u>	<u>FY 76</u>
Dollars Examined (\$ML)	35,985.5	33,552.7	30,866.9	28,080.1	25,703.1
Staff-Years Expended	1,075.4	1,092.5	1,087.4	1,094.5	1,222.6
Dollars/Staff-HR (\$TH)	20.9	19.2	17.7	16.0	13.1
Cost Questioned (\$ML)	1,077.5	869.2	832.3	752.2	611.2
Cost Quest/Staff-HR (\$TH)	.6	.5	.5	.4	.3
<u>Pricing Prop Evaluations</u>					
Number Prop Completed	31,380	29,985	26,876	24,875	22,957
Dollars Examined (\$ML)	112,076.3	97,710.6	89,218.5	96,457.9	67,945.4
Staff-Years Expended	1,235.4	1,178.5	1,111.8	1,058.2	1,052.9
Staff-Hours/Proposal	63.0	65.1	66.2	68.1	73.0
Cost Questioned (\$ML)	11,400.9	8,921.0	7,442.1	8,083.0	5,025.1
Cost Quest/Staff-HR (\$TH)	5.8	4.7	4.2	4.8	3.0
Dollars/Proposal (\$ML)	3.6	3.4	3.3	3.9	3.0
<u>Other Direct Effort</u>					
CAS Staff-Yrs Expended	90.4	104.2	127.4	179.7	111.1
<u>Defective Pricing</u>					
Staff-Yrs Expended	96.9	70.4	62.6	52.2	45.5
No. Completed Reviews	1,356	963	915	720	575
Reviews - POS Findings	260	134	109	98	86
Ratio: Findings/Reviews	1/5	1/7	1/8	1/7	1/7

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(A) Direct Staff-Years = 1600 Hours

Audits of Incurred Costs and Price Proposals
(Estimates FY 81 and FY 82)

	<u>Actual FY 1980</u>	<u>Estimate FY 1981</u>	<u>Estimate FY 1982</u>
<u>Incurred Costs (Billions)</u>			
On Hand beginning of year	\$ 28.7	\$ 34.0	\$ 39.9
Received during year (ADV)	<u>40.5</u>	<u>56.0</u>	<u>52.0</u>
Dollars subject to audit	\$ 69.2	\$ 80.0	\$ 91.9
Examined during year	<u>35.2</u>	<u>40.1</u>	<u>41.2</u>
Carryover on hand end of year	<u>\$ 34.0</u>	<u>\$ 39.9</u>	<u>\$ 50.7</u>
Staff-Years	1,092	1,137	1,075
Examined per Staff-Year (Millions)	\$ 32.2	\$ 35.3	\$ 38.3
<u>Pricing Proposals (Billions)</u>			
Amount examined during year	\$ 112.1	\$ 130.0	\$ 150.0
Number completed during year	30,587	31,315	33,473
Staff-Years	1,387	1,388	1,473
Proposals per Staff-Year	21.8	22.4	22.7
<u>Dollars Examined</u>			
Incurred Costs	\$ 35.2	\$ 40.1	\$ 41.2
Pricing Proposals	<u>112.1</u>	<u>130.0</u>	<u>150.0</u>
Total	<u>\$ 147.3</u>	<u>\$ 170.1</u>	<u>\$ 191.2</u>

CONTRACT AUDITING STANDARDS

Contract auditing and reporting standards govern the qualifications and conduct of contract auditors and control (1) the quality of the audit performance, (2) the nature and extent of the evidence to be obtained by means of auditing procedures, and (3) the nature and extent of audit reports. Each DCAA auditor must be fully aware of these standards and the expected quality of performance. This is accomplished by the auditor and the organization working together in a number of ways. The Defense Contract Audit Manual is the basic guidance provided the auditors and is supplemented by pamphlets and memoranda, as required. Additionally, the Defense Contract Audit Institute (DCAI), the Agency's training facility located in Memphis, Tennessee, provides a continuous, up-to-date curriculum of contract audit courses, including extensive training in electronic data processing (EDP) and other advanced audit techniques. The Agency also monitors (1) a program of professional development for its staff, (2) a system of auditor rotation to enhance independence and provide a broader base of auditor experience, and (3) a peer review system to assure maintenance of quality control.

While auditing procedures are concerned with acts to be performed, standards deal with the quality of performance of those actions and with their objectives. Thus, standards also concern the auditor's professional qualities and the expertise of judgment in conducting the audit and in reporting results.

Following is a comprehensive, but nevertheless abbreviated, presentation of the specific standards that DCAA applies in performing contract auditing. Those who are interested in reviewing the standards as officially stated should refer to the Defense Contract Audit Manual, Chapter II. This manual is published by DCAA and is available from the Government Printing Office.

DCAA General Auditing Standards

Qualifications. This standard requires that those assigned to the job collectively have the skills necessary for the task at hand, and their qualifications should be commensurate with the scope and complexities of the assignments.

Independence. This standard requires the auditor to provide impartial conclusions and recommendations. Therefore, the auditor's status and organizational position should provide the authority and opportunity to make and report findings and recommendations objectively. The DCAA auditor's primary responsibility to protect the interests of the Government includes the obligation to refrain from entering into any financial, social, or other relationship with defense contractors and their officers and employees which would impair his or her objectivity or reflect discreditably on him or her or the DoD. The auditor must not only be independent and impartial in fact, but other persons must consider him or her so.

Due Professional Care. This standard requires the auditor to employ high professional standards in what is done and how well it is done and to use judgment in applying auditing standards, and to be alert for situations or transactions indicative of fraud, improper, or illegal expenditures, waste, or inefficiency.

DCAA Field Work Standards

Application of these standards requires knowledge of the contractor's operations, policies, and internal controls, and the judicious concern for materiality and relative risk.

Planning. Adequate planning concerns the orderliness and timeliness of applying audit procedures. A written audit program is required to communicate objectives, to control audit work, and to provide a permanent record of the work accomplished.

Supervision. This standard requires the auditor to assure that subordinate staff members receive appropriate guidance.

a. The amount of preparatory training and the direct on-the-job supervision required varies according to the assistants' experience and competence.

b. Our supervisory review ensures that (1) the auditor conforms to audit standards, (2) the audit programs are followed unless deviation is justified and authorized, (3) the working papers adequately support findings and conclusions, (4) the working papers provide adequate data to prepare a meaningful report, and (5) the auditor accomplishes the audit objectives. Evidence of supervisory review is documented and retained.

Legal and Regulatory Requirements. The auditor is responsible for determining whether contractors have complied with contractual costing and pricing requirements.

Internal Control. Our work includes a proper evaluation of the contractor's system of internal controls to determine how much it can be relied upon in developing the direction and scope of audit tests. We determine whether the contractor's internal controls ensure accurate information and compliance with applicable laws and regulations, and promote efficiency and economy. Findings help determine the extent of detailed examination required to achieve audit objectives.

Internal control comprises the plan of organization and all the coordinated methods and measures adopted to safeguard assets, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed managerial policies. Internal controls may be characterized as either accounting or administrative.

a. Accounting controls comprise the plan of organization and all methods and procedures that are concerned mainly with, and relate directly to, the safeguarding of assets and the reliability of the financial records.

b. Administrative controls comprise the plans of organization and all procedures that are concerned mainly with operational efficiency and adherence to managerial policies.

Evidence. It is the auditor's responsibility to accumulate sufficient evidence to provide an appropriate factual basis for conclusions and recommendations. Evidence needed to support our findings may be (1) observation, photograph, or similar means; (2) interviewing or taking statements from involved persons; (3) documentary evidence consisting of letters, contracts, extracts from books of account, etc.; and (4) analysis of information the auditor has obtained. The evidence involved should meet the basic tests of sufficiency, competence, and relevance. The auditor's working papers reflect the details of the evidence relied upon and disclose the procedures employed to obtain it.

DCAA Reporting Standards

Written audit reports are to be submitted to the appropriate officials of the organizations requiring or arranging for the audits. Copies of the reports are sent to other officials who may be responsible for taking action on audit findings and recommendations and to others authorized to receive such reports. Reports are prepared in written form (1) so that the results can be communicated to responsible Government procurement officials and occasionally to higher levels in the Department of Defense, (2) for use in negotiation proceedings, and (3) to facilitate followup to determine whether appropriate measures have been taken in response to the auditor's findings and recommendations.

Timeliness. To be most useful, our audit report is as timely as possible. We also report significant matters to appropriate officials during the course of the audit to alert officials to matters needing correction at an earlier date.

Content. The report must be easy to understand, present the scope of the audit and the auditor's findings and conclusions objectively and completely with appropriate support for positions taken, and provide recommendations for improvement whenever appropriate.

a. Conciseness. Clear and concise reports require thought and judgment in distinguishing between necessary and unnecessary comments, exhibits, and schedules.

b. Accuracy, Completeness, and Fairness. Report preparation, review, and processing procedures are applied to produce reports that contain no errors of fact, logic, or reasoning.

c. Objectivity. Findings are presented in an objective, unbiased manner and include enough information on the subject matter to give readers proper perspective.

d. Adequate Support. All factual data, findings, and conclusions in reports should be supported by sufficient objective evidence to demonstrate or prove the bases for the matters reported and their accuracy or reasonableness.

e. Recommendations. Our reports contain appropriate recommendations whenever the review discloses that the contractor's operations can be significantly improved. We also make recommendations to effect compliance with legal or regulatory requirements when significant instances of noncompliance are noted.

f. Constructiveness of Tone. The tone of reports is designed to encourage favorable reaction to findings and recommendations.

g. Issues Requiring Further Study. If the scope of the audit or other factors limit our ability to inquire into certain matters which we believe should be studied, we report such matters and the reasons they merit further study.

h. Recognition of Noteworthy Accomplishments. Information on satisfactory aspects of operations examined, when significant and warranted, are included in the auditor's report.

i. Views of Contractor Officials. One of the most effective ways of ensuring that reports are fair, complete, and objective is through exit discussions with and comments by contractors. This produces a report which shows not only what was found and what the auditor thinks about it, but also what the contractor thinks about it and what, if anything, will be done about it. For reports on preaward pricing proposals, our discussions with contractors are limited to factual matters.

j. Scope and Objectives. We state the scope, objectives, and time period of the audit in our reports, with limitations, if any, clearly and explicitly identified, to give the reader a background against which any reported findings may be considered. When successive audits vary in scope, we explain why particular work was or was not performed and also define the limited nature or special aspects considered in performing the audit. When acceptable auditing procedures cannot be followed or have been limited by unavailable or inadequate records, time, or other reasons, the auditor comments on the scope of the audit and qualifies the report.

k. Omitted Information. If prohibited from including some pertinent data in the report, the auditor describes what has been omitted and the requirement that makes the omission necessary.

Audit Opinion. Subject to specific reporting limitations, our reports express the auditor's opinion and recommendations, both on the cost representations or financial statement taken as a whole and, where appropriate, on individual elements. The reports also state whether the financial data have been prepared in accordance with generally accepted or prescribed accounting principles and on a consistent basis from one period to the next. Material changes in accounting policies and procedures and their effect on the financial data are explained in the audit report. In addition, our reports comment on any significant financial issues affecting the contractor's cost representations. Violations of legal or other regulatory requirements, including instances of noncompliance with Cost Accounting Standards or applicable contract cost principles, are also explained in the audit report.

DCAA's standards used in performing contract auditing are based on generally accepted professional and Governmental auditing standards cited in (1) Statements on Auditing Standards (SAS) issued by the American Institute of Certified Public Accountants (AICPA), and (2) "Standards for Audit of Governmental Organizations, Programs, Activities & Functions," issued by the United States General Accounting Office (GAO).

In November 1972, the AICPA issues SAS No. 1 which codified and replaced Statements on Auditing Procedures 33 through 54, issued during 1963--1972. Additional SAS are issued periodically. Our standards are similar to those of the AICPA, although appropriate adaptations have been made to the AICPA standards to cover contract auditing.

The GAO auditing standards apply to audits of Government entities as well as audits of contractors, grantees, and other external organizations performed by or for Federal, State, and local governments. This includes both internal and contract auditors employed by Government organizations, independent public accountants, and others qualified to perform parts of the audit work contemplated under the standards. The GAO standards contain all the elements of the AICPA standards, plus additional material and standards to accommodate the broad scope of Government audits, and are periodically supplemented to meet changing needs. The GAO standards add the elements of (1) reviews for economy and efficiency, and (2) an assessment of program results. These standards have been adopted by Federal executive departments and agencies through the Office of Management and Budget (OMB), Circular A-73, "Audit of Federal Operations and Programs."

The GAO standards are based on the premise that Government organizations entrusted with public resources have a responsibility to render a full accounting of these activities.

Since the GAO standards indicate the extent of audit work expected of Government auditors, with regard to financial and compliance audits, the contract auditors determine whether (1) contractor financial operations are properly conducted, (2) contractor financial representations (financial

reports, presentations, pricing proposals, etc.) are accurate, and (3) the contractor has complied with applicable laws and regulations. Thus, the objectives of DCAA financial audits are in consonance with the GAO standards regarding financial and compliance matters.

DCAA meets the standard on reviews for economy and efficiency through the performance of operations audits at major contractor locations. Operations audits involve an evaluation of procedures, policies, and practices directly or indirectly influencing the nature or level of contract costs. When contractor controls are found to be inadequate, DCAA auditors recommend corrective actions. We emphasize the prevention of excessive costs and prices, rather than disallowing expenditures already made--an approach more useful to the contractor and the Government.

When we need engineering or other technical assistance to perform an operations audit, we request assistance from, or perform a joint review with, the cognizant contract administration component. Defense Acquisition Regulation (DAR) 20-1000, Monitoring Contractors' Costs, formalized this coordination between DCAA and the various contract administration organizations.

DCAA's mission does not include making reviews to determine if the goals and objectives of organizations, programs, activities, or functions established by laws or regulations are attained. However, DCAA reviews of contractors' operations have a direct bearing on the overall success of the Government programs to which the contracts relate.

DEFENSE ACQUISITION REGULATION (DAR)

The DAR is the principle procurement regulation of the DoD. It represents the most comprehensive procurement regulation in Government today. This regulation establishes uniform policies and procedures relating to the procurement of supplies and services under the authority of the United States Code. The regulation is divided into numbered sections, each of which deals with a separate aspect of procurement. The DAR currently includes 26 sections (I through XXVI) and 15 appendices (A through O). One of the DAR sections which deeply concerns DCAA is the DAR Section XV, Part 2 cost principles which are used for the determination of the allocability and allowability of costs charged to DoD contracts placed with commercial organizations.

The DAR Section XV--Part 2 cost principles are used in the pricing of negotiated supply, service, experimental, developmental, and research contracts requiring cost analyses. Additionally, the cost principles and procedures set forth in DAR XV--2 are required to be incorporated by reference in contracts when they are used for:

- (1) the determination of reimbursable costs under cost reimbursement type contracts;
- (2) the negotiation of overhead rates;
- (3) claiming, negotiating, or determining costs under terminated fixed-price and cost reimbursement type contracts;
- (4) price revision of FPI contracts;
- (5) price redetermination of prospective and retroactive price redetermination contracts; and
- (6) pricing changes and other contract modifications.

The primary function of the DAR Council is to submit recommendations on (1) new sections and paragraphs of DAR, (2) revisions to DAR, and (3) other matters involving acquisition as are proposed by the military departments of the DoD and the Defense Logistics Agency. The Council establishes subcommittees or working groups to aid it in the performance of its work. If a proposed DAR revision has merit, it is usually referred to a subcommittee comprised of experts on the specific subject. There are standing subcommittees for the more active sections of DAR such as the contract cost principles, Government property, small business, and cost or pricing data. In the case of the Section XV cost principles, the DAR Council relies upon the Section XV, Part 2 Subcommittee.

The DAR Section XV, Part 2 cost principles incorporate as a factor affecting allowability of costs the standards promulgated by the Cost Accounting Standards Board, if applicable. In addition, certain standards,

such as number 405 on accounting for unallowable costs, are specifically incorporated and made applicable to all contracts subject to this part of the DAR.

Contract audits are performed in accordance with (1) generally accepted accounting principles and practices appropriate to the particular circumstances, and (2) the applicable cost limitations or exclusions stated in the contract or the Defense Acquisition Regulation (DAR).

COST ACCOUNTING STANDARDS (CAS)

Public Law 91-379 provides that certain contractors comply with the rules, regulations, and standards issued by the Cost Accounting Standards (CAS) Board. The promulgated standards, for the most part, prescribe alternatives available to contractors for allocating costs and have resulted in more consistency and uniformity in the cost accounting principles and practices on which contract prices are based.

DCAA provided continuous support to the CAS Board in developing these rules, regulations, and standards. This included responding to material distributed by the board during the research and development phase of standards, assisting in special studies and surveys concerning proposed standards, and participating in the evaluation of standards in operation.

DCAA now is heavily involved in implementing the Public Law. The field auditor's role is an advisory one--to provide recommendations to the administrative contracting officer as to whether:

--a contractor's Disclosure Statement adequately describes the actual or proposed cost accounting practices;

--a contractor's described practices comply with DAR Section XV and the applicable cost accounting standards;

--a contractor's failure to comply with CAS or to follow its disclosed practices has resulted in increased costs to the Government; and

--a contractor's proposed price adjustment is fair and reasonable.

Within DCAA, consistency of approach and effective dissemination of guidance is enhanced through a CAS "network" consisting of Headquarters CAS Division, Regional CAS monitors, and a CAS monitor at each major field audit office. The many and diverse accounting concepts addressed in the standards now in effect have resulted in numerous differences of opinion between the auditor and contractor over the interpretation of standards. In many instances there are no easy solutions. However, DCAA recommendations on controversial issues are coordinated within DoD, and the Agency provides active support to Government trial attorneys when issues are brought before the ASBCA or the Court of Claims.

The CAS Steering Committee and its staff support, the CAS Working Group, were established to provide management surveillance, establish policy guidelines, and issue interim guidance for timely and efficient administration of CAS. The Director of DCAA, a consultant to the CAS Steering Committee, is represented by a voting member on the CAS Working Group. DCAA is also involved with the DAR Subcommittee for CAS rules and regulations, where a DCAA representative acts as a consultant and shares in numerous responsibilities of voting members, such as researching and preparing draft reports to the DAR Council on proposed CAS-related DAR changes. Thus, DCAA is able to provide the contract auditor's viewpoint and professional accounting opinion in developing coordinated CAS policy.

TOTAL AUDIT CONCEPT TECHNIQUE (TACT)

TACT is DCAA's identification of its management approach and technique for identifying, planning, and monitoring the audit work at a particular contractor location. The key work in "total audit concept technique" is "total." This work emphasizes the fundamental principle that a contractor's organization must be viewed in its entirety as a matrix rather than as a series of unrelated activities. Under this concept, all significant auditable activities which affect the costs of Government contracts are identified by a comprehensive survey of the contractor's organization. Each auditable area is then considered in relation to all others in planning the work of a field audit office (FAO).

Briefly, TACT includes six basic steps:

1. Identifying auditable areas of the contractor's organization by periodic updates of the general survey.
2. Evaluating the audit risk in each area and establishing priorities for accomplishing the audit based upon the risk (WRAP).
3. Preparing the annual plan for the contractor location using the annual program objective document (POD).
4. Continually assessing results and replanning in the light of current circumstances throughout the year.
5. Managing and performing all audit activities considering the interrelationship(s) between and among such activities.
6. Establishing a documentation process for identifying the interrelationships.

As can be seen from the above, TACT is not an audit or audit technique. TACT is a way of managing many audits. The TACT approach is based on the principle that there is an interrelationship of all the individual audits involved in performing the overall review of a contractor's operations, including reviews of forward pricing proposals. Developing the complete audit program requires the auditor to identify where and how individual workpackages interrelate to each other; and also establish a set of assignments that will provide complete audit coverage of the contractor's operations.

Understanding and planning such an overall audit program is a critical and complex series of steps and is circular in nature. It is for this very reason that we employ the TACT approach.

The general survey provides the background data that will be used to plan and guide the entire audit activity. The primary objective of the survey is to identify areas of the contractor's organization and operations requiring review.

Essentially, the general survey is designed to accumulate information without verification. It is accomplished quickly and gives an overview of the contractor's operations. It concentrates upon those aspects of the contractor's business that significantly affect Government work. Three basic categories of auditable areas are identified during the survey:

1. Organizations. Every major business organization is made up of a number of smaller organizational elements referred to as divisions, departments, shops, etc. The precise meaning of such terms varies among businesses. Operations that significantly affect the cost of Government contracts are logical candidates for operations audits. Care is exercised to assure all operations are identified during the survey stages of TACT planning. Organizational reviews of contractor operations include evaluations of both direct and indirect activities.

2. Systems. For our purposes, a system is any major body of policies, procedures, and controls organized logically and operated consistently as a function to achieve the objectives of a given plan, such as budgeting, estimating, or accounting. Such systems or functions are usually common to a number of organizational elements; however, each element may have only minimal responsibility for maintaining the integrity of the total system. Therefore, it is usually better to review each system separately. This type of vertical review establishes whether a system is adequate and functioning effectively. It supplements the organizational review and reviews of specific cost accounts. A systems review may also be performed as an operations audit.

3. Cost Accounts. All cost accounts are clearly identified during the general survey. To the extent possible, internal controls are evaluated during reviews of organizations or systems. In addition, where appropriate, selective testing of transactions is combined with reviews of organizations or systems to minimize attest audits, particularly of nonsensitive cost accounts.

We consider it essential that auditors thoroughly review selected areas of a contractor's organization to develop the evidence needed to express an opinion on the allowability of costs claimed or proposed. These reviews also provide a sound basis for recommending improvements in the economy and efficiency of operations. The areas are often too large, however, to be effectively reviewed as one assignment and are divided into smaller audits, or "workpackages." Workpackages constitute the basic building blocks used in planning, controlling, and measuring audit performance.

To be effective for planning and controlling work, a workpackage should:

- Specifically define the area to be reviewed and the audit objectives.
- Be usually assignable to a single FAO organization element.
- Have scheduled start and completion dates.

-- Have a budget or assigned value expressed in dollars to be audited and/or man-hours or days required to accomplish the work.

-- Be small enough to be manageable.

General audit objectives are necessary for each workpackage and are prepared when the workpackages are identified. The audit objectives define the boundaries of each workpackage, so that when all workpackages are taken in total, all costs are covered with minimal overlap.

It is usually not possible to review all significant areas of a contractor's entire operation each year. The next best alternative is to select for review those areas that have the greatest potential for charging Government contracts with unacceptable costs. The audit manager must know the potential dollar impact of each workpackage; the elapsed time since each workpackage was last performed; information from the last review, including the scope of audit; the hours required; the results of audit; and the contractor actions since the last review.

A decisionmaking model designed by DCAA and called Workpackage Risk Analysis Procedure (WRAP) assists the audit manager in deciding whether to schedule or defer workpackages.

WRAP does not eliminate or replace present procedures and documentation necessary to develop an audit plan. It is simply a formal, quantitative procedure designed to provide and document rationale for determining priorities to be given these workpackages. Using WRAP, the auditor can schedule less than all workpackages in a significant functional area and still have reviewed enough data to express an opinion on the entire area.

OPERATIONS AUDITS

DCAA policy is to comply with both the American Institute of Certified Public Accountants (AICPA) and the General Accounting Office (GAO) audit standards in performing Government contract auditing. The GAO standards for audit of Governmental organizations, programs, activities, and functions, published in June 1972, gave impetus to DCAA's operations audits program. The GAO standards require a full scope of audit that includes not only the traditional financial and compliance considerations, but also economy and efficiency of operations and effectiveness of programs in achieving these requirements. Specifically, the scope of the audit, according to GAO, should include the following determinations:

1. Financial and Compliance. Whether financial operations are properly conducted, financial reports are presented fairly, and the entity has complied with applicable laws and regulations.

2. Economy and Efficiency. Whether the entity is managing or utilizing its resources (personnel, property, space, etc.) economically and efficiently and the causes of any inefficiencies or uneconomical practices identified.

3. Program Results. Whether the desired results or benefits are being achieved, the objectives established by the legislature or other authorizing body are being met, and the Agency has considered alternatives which might yield desired results at lower costs.

DCAA has long been adhering to standard 1, however, the Agency does not have the authority and responsibility to evaluate DoD program results addressed in standard 3. This determination is the responsibility of various DoD internal audit organizations. DCAA auditors will report to procurement representatives any significant matters affecting DoD program results that may be disclosed during the performance of contract audits. To better comply with standard 2, the Agency initiated what is known as "operations audits."

The term "operations audits" has no generally accepted definition; however, the following definition has been developed to meet the Agency's needs in performing contract auditing:

-- Operations Audit. An operations audit is a systematic review of a particular organizational unit of function within a contractor's business to determine whether the most economical and efficient methods are employed in that activity's performance of Government work.

The primary purpose of the operations audit is improved economy and efficiency and future cost avoidance. The economy and efficiency aspects of an operations audit addresses the reasonableness of costs as compared to allowability and allocability of a financial and compliance review. The concept envisions contractor corrective action which will avoid wasteful and unnecessary costs caused by uneconomical or inefficient practices.

Operations audits are an essential and integral aspect of the Agency's TACT audit approach. The auditor works with contract administration office technical personnel who are knowledgeable in the functional areas being reviewed. The specific objectives of an operations audit are to:

1. Evaluate the propriety of the contractor's announced policies and the adequacy of the prescribed procedures, as they are set forth in whatever internal guidance made available to the contractor's personnel.

2. Test performance through examination of records and by observation to determine whether announced policies are observed and prescribed procedures are carried out.

3. Observe contractor activities to ascertain the possible existence of idle equipment, excessive numbers of personnel, and wasteful practices of any kind.

4. Ensure that the costs and expenses generated by the operations of the many functional areas are reasonable.

5. Bring wasteful practices or conditions to the attention of the contractor and cognizant Government procurement and contract administration officials for corrective action.

Typical operations audit areas include functions such as word processing, material handling, energy conservation, facilities management, direct production labor and related supervision, reproduction operations, etc. Some examples of operations audit findings reported recently are as follows:

1. Material Handling. During a recent review of a contractor's material handling operations, the auditor observed inefficient practices relative to the storage and handling of small tools and equipment. DCAA recommended the strengthening of internal controls and acquisition of an Automated Storage/Retrieval System. Such a system would enable the contractor to consolidate all of the tool rooms into a centrally located storage area and automate existing stock records. The contractor is studying the above recommendations, which if implemented would result in an annual cost avoidance of \$756,000.

2. Material Receiving, Inspection, Storage, and Issue. The functions of receiving, inspection, storage, and issue cover the movement of material, supplies, tools, and equipment from their initial point of receipt to final disposition. A recently completed review disclosed that an inordinate amount of effort was spent looking for material within the contractor's facilities. This condition in turn caused production delays and necessitated the reassignment of production personnel. DCAA recommendations included (i) consolidation of material counting and quality assurance activities, (ii) establishment of material inspection sampling techniques,

(iii) replacement of certain warehouse material handling equipment, and (iv) establishment of procedures to periodically sample inventory records for accuracy. The contractor concurred in all of the above recommendations, resulting in an annual cost avoidance of \$700,000.

3. Word Processing. An evaluation of a contractor's administrative functions disclosed that the preponderance of effort involved typing of repetitive material and revisions to original documents. Most of the typing work was performed on standard typewriters. Utilization of modern word processing equipment has resulted in savings of 15 to 30 percent of applicable secretarial/clerical payroll costs. In this instance, DCAA ascertained that the contractor could reduce repetitive text production effort by the acquisition and implementation of word processing equipment.

4. Facilities Management. These audits encompass the review for efficiency and economy of various contractor functions, such as maintenance of grounds and equipment, janitorial service, plant security, and rearrangement projects. For example, a recently completed DCAA review disclosed that a DoD contractor had inadequate procedures and practices relative to the control of plant rearrangement costs. Based on DCAA's recommendation to consolidate the various and scattered plant rearrangement functions into one organization, the contractor has realized an annual cost avoidance of approximately \$1 million.

5. Energy Conservation. Rapid increases in the cost of energy and the Nation's energy shortage have made this area of special importance to DCAA. These reviews are concerned with determining that the contractor's energy program is managed in an economical and efficient manner. Specific areas of audit evaluation are: (i) heating, ventilating, and air conditioning, (ii) lighting, (iii) water heating and cooling, and (iv) other. The following case represents a typical review:

Physical observations and discussions with contractor personnel disclosed minimal use of energy efficient fluorescent lighting equipment and use of costly, inefficient, and antiquated steam distribution system. Specific recommendations were as follows:

a. Group replacement of standard fluorescent lamps and ballasts saving 7.6 million kilowatt hours and \$2.3 million annually.

b. Establishment of a maintenance program for the steam distribution system, enabling a savings of 228.8 million pounds of steam and \$1.2 million annually.

The contractor has initiated corrective action on both of the DCAA recommendations, which when implemented, will result in an annual cost avoidance of \$3.4 million.

DCAA's operations audits resulted in net savings of about \$150 million per year during the past three years.

VULNERABILITY ASSESSMENT

Annually, DCAA performs contract auditing work for DoD and other Government procurement agencies at some 6,000 contractor locations ranging from multidivisional corporations with millions of dollars worth of Government business to individual proprietorships with business amounting to a few thousand dollars and everything in between. The number of locations or audit areas involved is formidable in itself. The conditions or factors such as internal controls, accounting systems, financial controls, management integrity, etc., usually vary considerably between contractor locations, thus adding to the complexity of the problem.

In an attempt to measure the extent of these problems, we developed and successfully field tested a procedure for assessing Government exposure to contractor fraud, waste, and error. We call this procedure "vulnerability assessment." The procedure is designed to determine whether contractors have adequate accounting and operational or management controls to prevent or discourage fraud, waste, and error. It consists of three phases: applying a risk analysis matrix, evaluating internal controls, and performing transaction testing.

The first phase of vulnerability assessment is to apply the risk analysis matrix to identify contractors and/or major cost areas within a given contractor location which evidence a high potential for fraud, waste, or error. This is done by assigning a numerical rating to critical factors associated with a particular location or major cost area. High ratings indicate potential problems. The factors generally included in the assessment are:

Prior Audit Results--Have deficiencies noted during prior audit reviews been corrected promptly?

Adequacy of Internal Controls--The adequacy of existing general and accounting internal controls affecting Government business must be ascertained. When assessing internal controls the following points should be considered. Do existing internal controls provide for:

Safeguarding of company assets?

Reliability of financial records?

A system of authorization and approvals?

Separation of duties and responsibilities?

An organization plan with all the necessary methods and procedures to promote operational efficiency and assure adherence to prescribed managerial policies?

Adequacy of Accounting System--Is the contractors' accounting system suitable for properly costing and administering Government contracts including the capability of providing reasonable data for cost projections?

Unusual Trends or Deviations in Financial Figures and Ratios--

Some examples:

The amount of incurred overhead expenses allocated to Government business are disproportionate with the percentage of Government sales to the total company sales.

The amount of forecasted overhead expenses are significantly out of pattern (with those experienced for a representative base period) without apparent reason(s) for the deviation.

Mix of Contracts--Does the contractor have a mix of commercial work, fixed price and cost-type contracts thus creating conditions for potential mischarging of cost to cost-type work?

Internal/CPA Audits--Does the contractor maintain an internal audit staff and/or retain a CPA firm? Do the activities of these groups include areas which impact Government programs? Are the results of these reviews made available to the DCAA auditor? Have past findings through compliance testing indicated poor internal controls which could lead to fraud and were they followed up by transaction testing? Were deficiencies noted corrected?

Company Management Dominated by One or Few Individuals--

1. Are there unusual amounts of receivables/payables to employees, affecting working capital or an abuse of resources to the detriment of Government programs?

2. Do management officials have interests in related firms or suppliers; creating potential for overpricing of costs by elimination of competition in purchases, diversion of resources, etc.?

3. Are management officials' salaries and salaries of related employees, commensurate with services performed?

Defective Pricing (PL 87-653)--Have there been instances of defective pricing in postaward reviews which evidence poor control over pricing or subcontracting procedures and vulnerability to improper transactions in this area?

Budgetary Controls--Does the contractor maintain an effective and realistic budgetary system to preclude improper charging of costs by operating personnel in order to achieve management goals otherwise unattainable.

Financial Condition--A poor profit history and lack of working capital either for the company or a particular organization within a company. These circumstances can lead to overstatements of claims for reimbursement and/or deliberate mischarging of costs to the more profitable segments of the business.

Identified contractor locations or cost areas with high risk areas are immediately scheduled for a complete evaluation of internal controls and related transaction testing. The intensity of transaction testing performed is dependent upon the condition of existing internal controls. Detailed transaction testing is accorded a lower priority and less attention at low risk locations. Regardless of the total score on the risk analysis matrix assigned to an area, individual weaknesses identified during the risk analysis phase are pursued by our auditors as soon as possible.

Vulnerability assessment is one means our auditors can use to plan and organize the attack on fraud, waste, and error. The vulnerability assessment approach can be tailored to virtually any audit environment. We are doing more than talking about fraud, waste, and error; introducing the vulnerability assessment process into the day-to-day audit work is an active program.

ELECTRONIC DATA PROCESSING (EDP) AUDITS

DCAA has long recognized the necessity and value of computer audit coverage; and particularly of audits that evaluate Government contractor EDP general and application internal controls and economy/efficiency reviews of computer operations. The broad objectives of our evaluations are to determine that (1) general controls in data processing systems have been designed according to management direction and are providing security over data being processed and (2) application controls of installed data processing applications ensure that data is processed in a timely, accurate, and complete manner.

Our audit procedures follow AICPA and GAO auditing standards and advocate first reviewing and evaluating the adequacy of general controls, followed by evaluation of application controls associated with specific systems or subsystems. We feel it is essential to identify and correct general control weaknesses as soon as possible due to their pervasive effects on application controls.

In recent years computer fraud has caused considerable concern among all sectors of Government and private industry. Computer systems' technical complexity, widespread use, and compactness have increased the possibility of unauthorized access and use of these systems to manipulate data. We believe the threat of fraud can be substantially reduced by maintaining adequate general and application controls around and within the automated system. Accordingly, we place considerable emphasis on the need to review and evaluate the adequacy of EDP system internal controls.

For complex systems, a team approach is used for reviewing and evaluating EDP general and application controls. Under this approach an auditor with specialized EDP training performs the review in conjunction with our resident (on-site) auditors.

Auditors obtain the additional required specialized technical support from senior computer specialists assigned to our EDP Technical Support Branch, which was established to provide technical assistance to auditors involved with internal control and economy/efficiency audits.

Our audit guidelines for EDP internal control evaluations and economy/efficiency audits of contractor computer operations are contained in DCAA Pamphlet 7641.75, Guidelines for Audit Reviews of EDP General and Application Controls and DCAA Pamphlet 7641.53, Guidelines for Operations Audits of Automated Data Processing Systems.

Synopses of operations audit findings dealing with Electronic Data Processing Systems are contained in our Operations Audit Summary Information System (OASIS).

We have also implemented innovative computer assisted audit techniques to improve the efficiency of the audit procedures involved in our proposal

evaluation and incurred cost reviews. As DCAA's audit workload increases while resources remain constant, we continuously look for new or refined uses of the computer as an audit tool. Examples of our use of the computer to reduce audit hours while improving the quality of our product include our COSAM and WEARS programs.

COSAM (COBOL sampler program) is a general purpose program capable of using contractor equipment to sample and stratify data files. We have found it a useful tool for proposal evaluations, incurred cost reviews, operations audits, and other similar audit activities.

WEARS is a general purpose time-shared proposal model that sorts, summarizes, and displays necessary forward pricing data. Use of WEARS relieves the auditor of tedious manual rate and schedule calculations while increasing overall accuracy. It also sharply reduces the time and costs for typing and printing audit reports.

ROTATION PROGRAM

In order to ensure the objectivity and independence of DCAA auditors the Agency has established a very strict rotation policy. Auditors in positions of influence are not permitted to maintain the same contractor contacts longer than five to seven years.

In practice this means that the auditor-in-charge of a field audit office is required to be rotated every five to seven years. In addition, the next lower level supervisors down through the GS-12 level must rotate contractor responsibilities within five to seven years. Based on career progression and not necessarily objectivity and independence, specialists positions also have an established, limited tour. For example, an individual may serve as a DCAI instructor no longer than three years. Liaison auditors are also limited to a three-year tour. Similar restrictions are placed on other regional and Headquarters positions.

This program assures that DCAA auditors' advice is not tainted by long and close relationships with the same contractor and provides varying career development opportunities to broaden the DCAA auditors' knowledge and skills.

LONG-RANGE PLANNING

We use a small-scale staff effort in DCAA to conduct what we call our long-range planning program. This is not a part of our operational goal-setting, programming, budgeting, or performance measurement systems; it is an extra management effort we devote to our continuing search for better ways to carry out the contract audit mission.

The program serves to set aside a small portion of our time to look ahead--to identify emerging or potential trends and issues that may impact our work--to consider longer-range ramifications of what's going on--to evaluate alternative ways of adapting to internal and external changes. While most Agency planning is done in the midst of regular day-to-day operations, DCAA's long-range planning program gives us a chance periodically to reflect on our operations from a different perspective, to review the framework within which operational decisionmaking should continue. The basic goal is more effective management of day-to-day operations.

The scope of the program encompasses all levels of the DCAA organization and all functional areas such as audit policy and auditing techniques, personnel and equipment and other resource areas, staff development and training, and internal and external organizational relationships. Thus, one secondary function of the long-range planning program is to broaden the understanding of management viewpoints and objectives throughout the organization.

Several times a year the Director and Deputy Director hold special "planning board" meetings with the highest level Headquarters staff managers for the purpose of considering long-range planning topics. The board directs specific study projects, reviews study results, and follows through on any approved implementation planning.

Suggested long-range planning topics are solicited from all DCAA employees, and about once each year we distribute to all employees a status report on deliberations of the long-range planning board.

The long-range planning program adds a broader perspective which enhances our capability to manage DCAA more effectively.

PFER GROUP REVIEWS

Peer Group reviews of regional operations were initiated in 1979 as a method for assessing quality control throughout the Agency. The Peer Group provides an independent evaluation of field operations.

Under the Peer review concept, each of the regions is evaluated about every three years by a team selected from the other five regions and Headquarters. A regional audit manager acts as auditor-in-charge; additional team members are selected from among the managers of resident and branch offices and the Headquarters Principal Staff Elements. The overall Peer Review Program is coordinated at Headquarters by the Special Assistant. Field work requires approximately six weeks and includes visits to the regional offices and generally ten field audit offices. The review encompasses such areas as auditor rotation plans, and nature and extent of supervision, as well as the performance of specialized DCAA audits such as operations audits, defective pricing audits, etc.

The review is culminated with the issuance of a comprehensive report. Followup action is maintained to ensure implementation of all recommendations agreed to by Agency management.

MANAGEMENT DEVELOPMENT PROGRAM

DCAA has established a comprehensive plan for developing the future executives of the Agency. This plan was originally created as the Executive Development Program (EDP) several years ago. It includes on-the-job training, formal education, and professional accomplishments and recognition. As part of this program, the Director's Fellowship Program was established. This latter program provides for graduate level training in management and supervision for DCAA managers. The courses are developed and conducted by Central Michigan University. Approximately 75 people have graduated from this program at this time.

The advent of the Civil Service Reform Act required modifications to the Executive Development Program. As a result, the program has been modified, refined, and reestablished as a Management Development Program (MDP). Initial selections for this program are presently being made.

The success of this program is evident from the interest expressed by the Office of Personnel Management (OPM) and the promotion record of participants. DCAA has been asked on several occasions to present our management development program to other agencies. Also, the recent selections of five regional directors and an Assistant Director are all involved in the MDP.

EQUAL EMPLOYMENT OPPORTUNITY

The policy of the Defense Contract Audit Agency is to provide all employees and those seeking employment equal opportunity in conditions of employment, training and advancement regardless of race, sex, religion, color, national origin, age, marital status, or physical handicap.

The Agency Equal Employment Opportunity Program is administered by the Special Assistant to the Director. Three full-time EEO Officers serve the six regional offices.

The Agency establishes strong, goal-oriented, affirmative action plans at the Headquarters and regional levels. Affirmative action is directed to all employment practices with the goal of eradicating any disparate treatment. Our accomplishments are measured by our on-going monitoring and reporting systems.

Managers and supervisors at all levels, the Equal Employment Opportunity staff, and the Director of Personnel, share responsibility and are held accountable for achievement of Agency goals. Management performance is evaluated in terms of these as well as other major Agency goals.

Over the years, DCAA has made excellent progress in equal employment opportunity. The numbers of minorities and women employed by the Agency continue to increase in spite of staffing restraints, freezes, etc. We expect the upward trend of hiring minorities and women to continue as efforts to recruit, develop, and retain minorities and women are maintained and emphasized.

In order to improve our efforts to attract women and minorities DCAA requested and received permission for partial examining authority. This means DCAA maintains employment registers and can more readily employ qualified women and minorities. We have also had a successful upward mobility program for Agency administrative personnel.

REPORTING SUSPECTED IRREGULAR CONDUCT

While auditing contractors' or subcontractors' records, auditors may encounter, or receive from other sources, information which constitutes evidence or suspicion of fraud or other criminal activities. These activities include: falsification of documents, such as time cards, submission of false claims; intentional mischarging or misallocation of costs; regulatory or statutory violations, such as bribery, theft, graft, conflict of interest, kickbacks, and gratuities. Such information might pertain to individuals or firms in their relations with the Government or other individuals or firms doing business with the Government. Information might also pertain to military personnel or civilian employees with the Government in their relations with the Government.

Professional standards require that we exercise "due audit care" in our examinations so that material frauds or other criminal activities would be uncovered. The standards also require that we assure that the contractor has an adequate and effective accounting system of internal controls. Adequate judgment in the choice and application of audit procedures and system tests will fulfill these requirements.

When we encounter apparent incidences of irregular conduct, we examine the records and other data sufficiently to form an opinion on the allowability of costs to Government contracts--our primary concern. Our examinations do not include the use of investigative techniques. If we decide that the facts or allegations constitute a reasonable basis for suspicion of fraud or other unlawful activity, we refer the matter to the appropriate investigative agency and to the Criminal Division, Fraud Section, Department of Justice.

We have an arrangement with the Defense Investigative Service to periodically review the GAO and DoD hotline traffic regarding alleged instances of fraud or waste in Government operations. In many of the suspected fraud cases, the contractors' irregular practices resulted from a weakness in management's internal controls for which we have recommended that effective controls be implemented. Notwithstanding, our practice is to send the hotline calls that may impact contractor/subcontractor operations to the responsible field audit offices and to obtain the disposition of each case.

DEFENSE CONTRACT AUDIT AGENCY

RESOURCES MANAGEMENT

Summary

The Agency staffing data in the following pages include actuals for FY 80 and estimates for FY 81 and FY 82. This information is presented by total personnel and by grade level. A detailed history of authorized positions in DCAA is presented (beginning FY 67). It should be noted from this analysis that DCAA reached a peak employment level in FY 1968. Since that time there have been periodic reductions with the only significant increases being in recent years for reimbursable audit effort. No increases on DoD work have been recognized since FY 76 when 10 additional spaces were provided.

A summary of FY 80 actuals and FY 81 and FY 82 budget estimates indicates that there is approximately an 11 percent increase in our budget from FY 80 to FY 81 and about a 2 percent increase from FY 81 and FY 82. Details on budget estimates by category are also presented. By far, the greatest expense item for operating the Agency is personnel compensation and related benefits.

A summary of training costs for the past year and estimates for 2 or more years is also provided. Training costs have increased approximately 40 percent in FY 81 and 6 percent in FY 82. Due to travel fund restrictions in FY 79 and FY 80 many training needs had to be deferred into FY 81.

The DCAA reimbursable effort is summarized for FY 80 and estimates for FY 81 and 82 are provided. The largest client continues to be the National Aeronautics and Space Administration with substantial work for Foreign Military Sales and Department of Energy.

Finally, a detailed presentation on the allocation of DCAA resources is provided. This process begins with a grass roots buildup at the field audit office level and culminates FAO audit plans to meet the resources available to accomplish the audit mission. Annually DCAA resources shortfall is approximately 10-15 percent. This necessitates reprogramming and results in a continuous buildup in backlog of audits to be accomplished.

Agency Staffing (FY 80 - FY 82)

	<u>FY 1980 Actual</u>	<u>FY 1981 Actual</u>	<u>FY 1982 Estimate</u>	<u>Change FY 81 to FY 82</u>
<u>End Strength</u>				
Full-Time Permanent	3,378	3,560	3,480	- 80
Temps	<u>45</u>	<u>9</u>	<u>0</u>	<u>- 9</u>
Total Direct Hire	3,423	3,569	3,480	- 89
Indirect Hire	<u>5</u>	<u>6</u>	<u>5</u>	<u>- 1</u>
Total	<u>3,428^{2/}</u>	<u>3,575</u>	<u>3,485^{1/}</u>	<u>- 90</u>
<u>Work-years</u>	<u>3,457</u>	<u>3,470</u>	<u>3,485</u>	<u>+ 15</u>
<u>Work-Years By Type of Funding</u>				
Direct	2,890	2,863	2,878	+ 15
Reimbursable	<u>567</u>	<u>607</u>	<u>607</u>	<u>0</u>
Total	<u>3,457</u>	<u>3,470</u>	<u>3,485</u>	<u>+ 15</u>

1/ Authorized strength for this Agency was 3,575 before across-the-board reduction of 2½% allocated in Amended Program Budget Decision.

2/ While the Agency was authorized 3,575 for FY 1980, due to the "1 for 2" hiring freeze, this is the number of people actually on board.

Agency Staffing By Grade Level
(FY 80 - FY 81)

	<u>1980</u> <u>Actual</u>	<u>1981</u> <u>Estimate</u>
GS-1	0	0
GS-2	3	0
GS-3	17	1
GS-4	139	153
GS-5	225	253
GS-6	64	72
GS-7	210	179
GS-8	8	8
GS-9	299	274
GS-10	1	1
GS-11	752	830
GS-12	1,092	1,194
GS-13	355	363
GS-14	151	160
GS-15	<u>50</u>	<u>56</u>
Subtotal	<u>3,366</u>	<u>3,544</u>
SES (Senior Executive Service)	10	12
WG (Wage Board)	1	2
DHFN (Direct Hire Foreign Nationals)	<u>1</u>	<u>2</u>
Total FTP (Full-Time Permanent)	3,378	3,560
IFFN (Indirect Hire Foreign Nationals)	5	6
Temporary Employees	<u>45</u>	<u>9</u>
Total	<u>3,428</u>	<u>3,575</u>

HISTORY OF AUTHORIZED POSITIONS (FY 67 - FY 82)

<u>Fiscal Year</u>	<u>Total Positions</u>	<u>Change</u>
1967	4,063	-
1968	4,136	+ 73
1969	3,971	-165
1970	3,925	- 46
1971	3,807	-118
1972	3,568	-239
1973	3,663	+ 95
1974	3,630	- 33
1975	3,431	-199
1976	3,441	+ 10
1977	3,431	- 10
1977	3,354	- 77
1978	3,470	+116
1979	3,542	+ 72
1980	3,575	+ 33
1981	3,575	0
1982	3,485 ^{1/}	- 90

1/ Authorized strength for this Agency was 3,575 before across-the-board reduction of 2½% allocated in the Amended Program Budget Decision. We are seeking additional staffing to meet increased workload requirements due to increases in the DoD procurement budget.

Budget Summary (FY 80 - FY 82)
(\$ in thousands)

	FY 1980 Actual			FY 1981 Estimate			FY 1982 Estimate			Change FY 1981 to FY 1982		
	Direct	Reimb.	Total	Direct	Reimb.	Total	Direct	Reimb.	Total	Direct	Reimb.	Total
Personnel Comp/Benefits	\$ 77,829	\$ 18,629	\$ 96,458	\$ 84,091	\$ 21,765	\$105,856	\$ 85,318	\$ 21,765	\$107,083	\$ +1,227	\$ 0	\$ +1,227
Overtime (Non-Add)	(681)	(193)	(874)	(668)	(232)	(900)	(668)	(232)	(900)	0	0	0
Travel	3,537	740	4,277	4,940	860	5,800	5,670	860	6,530	+ 730	0	+ 730
Transp. of Things	287	60	347	480	70	550	530	70	600	+ 50	0	+ 50
Int. Comm, Utilities	3,693	85	3,778	4,127	93	4,220	4,737	93	4,830	+ 610	0	+ 610
Print & Reproduction	108	0	108	165	0	165	180	0	180	+ 15	0	+ 15
Other Services	3,539	245	3,784	3,841	279	4,120	4,011	279	4,290	+ 170	0	+ 170
Supplies & Materials	452	80	532	507	93	600	562	93	655	+ 55	0	+ 55
Equipment	155	45	200	130	70	200	140	70	210	+ 10	0	+ 10
Total	<u>\$ 84,660</u>	<u>\$ 19,884</u>	<u>\$109,484</u>	<u>\$ 98,281</u>	<u>\$ 23,230</u>	<u>\$121,511</u>	<u>\$101,148</u>	<u>\$ 23,230</u>	<u>\$124,378</u>	<u>\$ +2,867</u>	<u>\$ 0</u>	<u>\$ +2,867</u>
Number of Days			262			261			261			

BUDGET WORKSHEET

FY 1982 Budget Estimate

DESCRIPTION	FY 1980		A C T U A L		FY 1981		FY 1982	
	Gross	Reimb.	Direct	Reimb.	Gross	Reimb.	Gross	Reimb.
PERSONNEL COMPENSATION	87,340	16,905	70,435	14,745	95,120	14,745	96,103	19,745
BASIC PAY (M/F)	85,258	16,607	68,651	10,397	92,715	10,397	91,661	19,397
BASIC PAY TEMP. POS.	218	0	218	0	325	0	325	0
TERMINAL LEAVE	711	105	606	116	725	116	725	116
VERTIME AND HOLIDAY	874	191	683	232	900	232	900	232
STAFF COMPENSATION	257	0	257	0	405	0	440	0
PERSONNEL BENEFITS	9,116	1,724	7,392	3,020	10,726	3,020	10,970	2,020
BEN. P.A.D. OTHER FUNDS	8,195	1,647	6,548	1,928	9,196	1,928	9,300	1,928
STAFF BENEFITS	512	77	435	92	810	92	885	92
OTHER BENEFITS	409	0	409	0	720	0	785	0
BENEFITS FOR MER PERSONNEL	2	0	2	0	10	0	10	0
TRAVEL AND TRANS. PERL.	4,277	740	3,537	867	5,800	867	6,530	860
AUDIT OPNS. TRAVEL	2,203	705	1,498	813	2,665	813	3,110	813
AUDIT HGT. TRAVEL	672	0	672	0	955	0	1,040	0
TRAINING TRAVEL	1,158	0	1,158	0	1,800	0	1,965	0
ACCOM. TRAVEL	111	0	111	0	180	0	195	0
TRAVEL EXPENSES	131	35	98	47	200	47	220	47
TRAVEL, COMM. AND UTILITIES	3,778	85	3,693	91	4,220	91	4,830	91
OFFICE SPACE RENTAL	1,680	0	1,680	0	1,765	0	1,925	0
OFFICE EQUIPMENT RENTAL	28	0	28	0	30	0	30	0
OTHER RENT AND UTILITIES	564	85	479	93	670	93	730	93
POSTAGE	95	0	95	0	100	0	185	0
FEL (Excludes ADP)	278	0	278	0	350	0	380	0
FEL (Excludes CATS)	644	0	644	0	755	0	980	0
TELEPHONE COMMUNICATIONS	17	0	17	0	15	0	15	0
PRINTING AND REPRODUCTION	677	0	677	0	535	0	585	0
OTHER SERVICES	108	0	108	0	165	0	180	0
ADULT SERVICES	3,785	245	3,539	275	4,120	275	4,290	279
ADULT SERVICES	1,247	0	1,247	0	1,550	0	1,550	0
CROSS-SERVICE SUPPORT	1,351	160	1,191	186	1,295	186	1,420	186
TRAINING OF ED. P. (Comm.)	425	85	340	93	480	93	480	93
TRAINING SERVICES	54	0	54	0	70	0	70	0
DIRECT-PHRE FOREIGN MATL.	302	0	302	0	380	0	415	0
ADULT STORAGE	139	0	139	0	140	0	140	0
ADULT SERVICES	36	0	36	0	75	0	75	0
ADULT SERVICES	144	0	144	0	20	0	20	0
ADULT SERVICES	86	0	86	0	110	0	120	0
SUPPLIES AND MATERIALS	532	80	452	93	600	93	655	93
EQUIPMENT	200	45	155	70	200	70	210	70
SPECIALIZED EQUIPMENT	126	45	81	81	150	70	160	70
GENERAL EQUIPMENT	74	0	74	0	50	0	50	0
OPERATING BUDGET	109,484	19,884	89,600	23,230	121,511	23,230	124,378	23,230
ADULT SAL. - 543 DAYS	24,509		26,662		26,662		26,819	
ADULT STRENGTH	24,698		3,452		26,765		26,922	
ADULT STRENGTH	1,438		3,454		3,467		3,467	
ADULT STRENGTH	2		2		2		2	
ADULT STRENGTH	3,460		10		3,469		3,469	
ADULT STRENGTH	(90)		10		(33)		10	
ADULT STRENGTH	12		3,464		3,479		3,479	
ADULT STRENGTH	3,552		6		6		6	
ADULT STRENGTH	3,457		1,470		1,470		1,485	
ADULT STRENGTH	1,428		3,525		3,485		3,485	
ADULT STRENGTH	89,500		98,281		101,148		101,148	
ADULT STRENGTH	19,884		23,230		23,230		23,230	

Summary of Reimbursable Effort (FY 80 - FY 82)

<u>Client</u>	<u>FY 1980 (Actual)</u>		<u>FY 1981</u>		<u>FY 1982</u>	
	<u>Work-Years</u>	<u>Dollars</u>	<u>Work-Years</u>	<u>Dollars</u>	<u>Work-Years</u>	<u>Dollars</u>
NASA	162	\$5,290	160	\$5,666	160	\$5,666
DOE	120	3,922	136	4,815	136	4,815
DOT	46	1,501	45	1,617	45	1,617
DHEW/HHS-ED	30	997	35	1,228	35	1,228
NSF	8	253	9	311	9	311
Interior	9	307	8	293	8	293
EPA	27	870	25	870	25	870
FMS	100	4,601	136	6,321	136	6,321
Other	<u>65</u>	<u>2,143</u>	<u>53</u>	<u>2,109</u>	<u>53</u>	<u>2,109</u>
Total	<u>567</u>	<u>\$19,884</u>	<u>607</u>	<u>\$23,230</u>	<u>607</u>	<u>\$23,230</u>

Billing Rates:

Regular	\$ 23.50	\$ 25.50
FMS	\$ 28.61	\$ 31.27

RESOURCES ALLOCATION PROCESS

The DCAA allocation of resources is a systematic and rational process. It begins with the preparation of the Program Objective Memorandum (POM) in May of each year. At that time, the Agency projects requirements for the five-year period beginning approximately 17 months from that date. In preparing the POM we rely heavily on projections of DoD procurement activity, historical information, and also regional input which might be available from related exercises such as the Program Objective Document (POD). Discussions with reimbursable clients are also useful in establishing a level for the reimbursable effort in the future.

Historical patterns of incurred costs and forward pricing activity are used to provide projections for these categories in outyears. For information purposes, we show the present year data and the upcoming year data which, by that time, has been fairly well established in terms of the budget approval. Very few deviations are permitted from historical staffing patterns. Approval of the POM is usually obtained in the latter part of August.

The next step is the preparation of the POD in January preceding the beginning of the management year. At this time, Headquarters provides guidance and identifies areas of emphasis for the coming management year and requests field input on resource needs. This exercise occurs in February, March, and April. Field audit offices develop requirement forecasts for the coming management year based on the POD and forward these to the regional office for their review and approval. Regions, in turn, submit these requirements to Headquarters for review for consistency, productivity, etc.

When the requirements plan computer printouts and the individual FAO narrative comments pertaining to the requirements are received in Headquarters, a very involved and detailed analysis is performed. This analysis is on an FAO-by-FAO basis and considers FAO and Agency historical workload/productivity trends as well as comments contained in the narrative packages. Modifications to individual office requirements are made to reflect differences in productivity levels for both forward pricing and incurred costs. Adjustments, as considered appropriate, are made to other areas such as CAS, defective pricing, special audits, administration, etc.

After these adjustments are incorporated, the resulting personnel requirements are usually still substantially above the Agency's authorized staffing levels. Since the personnel strength allocated to DCAA is not sufficient to devote the level of effort for incurred costs which are required, one of the final steps in the allocation process involves staffing FAOs only to a percentage of incurred cost audit requirements. In the most recent year, a 69.0 percent factor was applied to the incurred costs hours generated after productivity adjustments. In other words, FAOs were allocated personnel resources to accommodate demand assignments and a percentage of nondemand assignments.

Our emphasis in the personnel resource allocation process is to effectively distribute available staff consistent with mission objectives/requirements. In order to give the regional directors flexibility in utilizing resources, we provide the results of our analysis by FAO to them with the understanding that the only real constraint is the total number of spaces and that actual distribution to individual FAOs within the region is under the direct control of the regional director. To further emphasize this point, we usually allocate at least two spaces to each region to be used as "wild card" spaces in any manner the regional director sees fit. There are some constraints concerning uniformity of regional staff size and content but these restrictions do not extend to the FAO level.

The allocation from Headquarters to the region is then reviewed and each regional director makes his allocation to each FAO. The distribution of the spaces by the regional directors is reflected in the Tables of Authorized Strength which are subsequently reviewed and approved by Headquarters. At that time, it is necessary to prepare program plans which are not capable of meeting all requirements due to insufficient resources. As a result, audit work is backlogged and, as evidenced by our dollars subject to audit and backlog figures, these items have increased substantially over the past few years.

In recent years we have seen real increases in the DoD procurement budget but no comparable increase in DCAA resources. From a budgeting standpoint, DCAA is viewed as a support activity in DoD, similar to ADP, personnel, logistics, and other support activities. DoD's primary objective in the last several years has been to increase the DoD fighting force and decrease support levels. In years when the DoD budget was targeted for a 5 percent reduction, for example, the Secretary of Defense declared the fighting forces would not be reduced and thus the support areas had to absorb the full decrease which, in effect, amounted to more than the 5 percent overall reduction target. Unfortunately, DCAA has not been exempted from these kinds of reductions.

DEFENSE CONTRACT AUDIT AGENCY

PERSONNEL

Overview

DCAA is presently authorized 3,575 positions. Because of the hiring limitations our temporary ceiling is about 3,400. We employ approximately 2,900 auditors. Of these, approximately 91 percent have a bachelor's degree or higher. About 12 percent of this 91 percent have master's degrees. In addition, nearly 19 percent of the audit staff are CPAs or have passed the CPA exam and are awaiting the experience requirements. The average DCAA auditor is approximately 41 years old, with 13 years of Federal service, including 8 years with the Defense Contract Audit Agency.

Very few other specialties other than contract audit are included in the Agency employment. However, we have three attorneys, three computer specialists, and other individuals in the areas of personnel management and management information.

PROFILE OF SENIOR EXECUTIVE SERVICE MEMBERS



FREDERICK NEUMAN
DIRECTOR, DCAA

Mr. Neuman has been the Director of the Defense Contract Audit Agency since August 1976. After graduating from the College of the City of New York with a bachelor of business administration degree, he served with a New York CPA firm for about four years. He then served with the Army Air Corps audit organization until it was absorbed by the U.S. Army Audit Agency (USAAA) in 1946. He served with the USAAA until January 1965, where his last position was Chief, Procurement Audits Division.

In January 1965, Mr. Neuman was appointed to the planning group which was formed to establish DCAA. Mr. Neuman held four highly responsible positions in DCAA Headquarters, including Deputy Director.

Mr. Neuman is a certified public accountant in the State of New York, and is a charter member of the New York Association of Government Accountants (AGA). He is currently a member of the Montgomery-Prince Georges Chapter (AGA). He has served as chairman of several committees at the national level of AGA, and is National President for the term 1980-81.

A frequent speaker at professional meetings, and a panel member during various seminars on professional subjects, Mr. Neuman has also long been a guest lecturer at the Defense Systems Management School at Fort Belvoir, Virginia, and the U.S. Army Judge Advocate General's School at Charlottesville, Virginia. In addition, he lectures at university-sponsored educational programs as well as those conducted by professional organizations.

Mr. Neuman has received many awards and citations during his Government career, including the Distinguished Civilian Service Award and Gold Medal, and the Secretary of Defense Meritorious Civilian Service Medal.



CHARLES O. STARRETT, JR.
DEPUTY DIRECTOR, DCAA

Prior to his appointment as Deputy Director, Defense Contract Audit Agency, on 20 September 1976, Mr. Starrett was DCAA's Assistant Director, Policy and Plans.

Mr. Starrett graduated with an accounting major from the University of Florida in 1955. From 1956 through 1964 he was an auditor, field office chief, and headquarters staff advisor with the Auditor General, U.S. Air Force, in its contract audit function. He was a member of the planning group that organized DCAA in 1965, and since that time has served in a number of DCAA Headquarters executive positions.

Mr. Starrett is a certified public accountant (Virginia) and a member of the American Institute of Certified Public Accountants. He is currently program chairman for the upcoming Miami Symposium of the Association of Government Accountants; chairman of the Federal Audit Executive Council; a member of the Advisory Committee to the Office of Personnel Management on Executive Development; and a member of the Interagency Audit Training Center's Board of Directors. He has a master's degree with Central Michigan University in management and supervision.

He has received numerous awards throughout his career, including DCAA's Meritorious Civilian Service Award (1970) and its highest citation, the Distinguished Civilian Service Award and gold medal (1975).



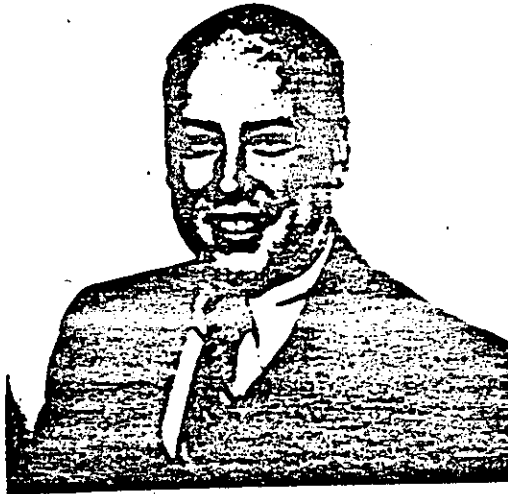
JOHN J. QUILL
COUNSEL, DCAA

In 1947, after serving two years in the U.S. Navy, Mr. Quill entered Ohio Wesleyan University, Delaware, Ohio, where he received a bachelor's degree in 1950. He then attended the George Washington School of Law and received a bachelor of law/juris doctor degree in 1953, followed by a master of law (LLM) degree in 1960. Mr. Quill engaged in private law practice for several years before beginning his career as a Government attorney with the Army Corps of Engineers at Fort Belvoir, Virginia. He transferred to the U.S. Army Audit Agency in 1962 and remained there until joining the Defense Contract Audit Agency at its inception. He served as Attorney Advisor and Deputy Counsel before being promoted to his present position, Counsel, in 1974. Mr. Quill is an active member of the Federal Bar Association and the Virginia State Bar Association. He was awarded the Agency's second highest award, the Meritorious Civilian Service Award, in 1970.



JAMES R. BROWN
ASSISTANT DIRECTOR, OPERATIONS

Mr. Brown was promoted from Deputy Assistant Director, Operations, to Assistant Director, Operations, in 1980. He began his DCAA career in November 1966 as Branch Chief of the Bangkok Branch, Thailand. From there, he moved to Groton, Connecticut, to become Resident Auditor of General Dynamics (Electric Boat). He came to Headquarters in 1974 and has served in several capacities, the most recent being Deputy Assistant Director, Operations. Jim holds bachelor's and master's degrees from Central Michigan University. He is a certified public accountant (Virginia), and is the President of the Northern Virginia Chapter of the Association of Government Accountants and a member of the American Institute of CPAs. He participated in the Agency's Executive Development Program and has received numerous DCAA awards, including the DCAA Meritorious Civilian Service Award, during his career.



DARRELL J. OYER
ASSISTANT DIRECTOR, RESOURCES

Mr. Oyer became Assistant Director, Resources, in January 1980. Mr. Oyer was with the Air Force Auditor General before coming to DCAA's Atlanta Region at the Agency's inception. He has had experience in a variety of DCAA positions, including Chief of the Cost Accounting Branch, Headquarters; Assistant Regional Manager, Atlanta Region; Deputy Assistant Director for Plans, Headquarters; and Special Assistant to the Director. He was Assistant Director, Operations before taking his present position.

Darrell received a bachelor's degree in accountancy from the University of Illinois in 1963 and a master's degree in business administration from American University in 1972. He is a certified public accountant, and received the DCAA Meritorious Service Award in 1975. Darrell also has a certificate in data processing (CDP) from the Data Processing Management Association. In 1979-1980 he served as Capital Region Vice President of the Association of Government Accountants (AGA). He has also served as AGA Chapter director in the Atlanta and Northern Virginia and is on the AGA National Ethics Board.



IRVING J. SANDLER
ASSISTANT DIRECTOR, POLICY AND PLANS

Mr. Sandler is Assistant Director, Policy and Plans, Headquarters, Defense Contract Audit Agency. He has been with the Agency since its inception in 1965 in a number of management positions. Previously Mr. Sandler served with the Auditor General, U.S. Air Force, for about 15 years at the field audit office, district, and Headquarters levels. He has completed the residential program in executive education at the Federal Executive Institute, Charlottesville, Virginia, and has received BBA and MBA degrees from Northeastern University.

Mr. Sandler is a certified public accountant and is a member of the Association of Government Accountants, the National Association of Accountants, and the American Institute of Certified Public Accountants. He has authored articles for the Federal Accountant, the Journal of Accountancy, and the Defense Systems Management Review. In 1970 Mr. Sandler received the DCAA Meritorious Service Award.



PAUL EVANS
REGIONAL DIRECTOR, ATLANTA

Mr. Evans earned his bachelor of science degree in accounting from Brigham Young University, Provo, Utah, and his master's degree in management and supervision from Central Michigan University. He started his Government career with the U.S. Army Audit Agency (USAAA) in 1954. He held field positions of increasing responsibility including USAAA Resident Auditor, Sperry Utah Company, and in 1963, he was assigned to USAAA Headquarters as a program manager in the procurement audits division. When DCAA became operational, Paul was assigned to DCAA Headquarters as program manger in the Operations Branch, Audits Division. He was soon promoted to Chief, Audit Division. In 1969, he became Assistant Regional Manager, Atlanta Region, and in 1972, he became Regional Manager, Atlanta Region. Paul is on the Southeastern Regional Inter-Governmental Audit Forum, and the Atlanta Federal Executive Board. He is a certified internal auditor, and belongs to the Atlanta Chapter, Association of Government Accountants. In 1975, Mr. Evans received DCAA's highest award, the Distinguished Civilian Service Award.



WILLIAM H. REED
REGIONAL DIRECTOR, BOSTON

Mr. Reed was selected as Regional Director, Boston, in 1980. Before that he was Boston's Deputy Regional Director. He has been with the Defense Contract Audit Agency since its inception in 1965. He has worked in the Los Angeles Regional Office, Rockwell Space Division Resident Office and the Boston Regional Office. Bill is a certified public accountant (California). He has an undergraduate degree from Woodbury College and a master's degree in management and supervision from Central Michigan University. During his career, he has received several civilian service awards. He also participated in the Agency's Executive Development Program and is a member of the Association of Government Accountants.



ROBERT B. HUBBARD
REGIONAL DIRECTOR, CHICAGO

Mr. Hubbard was selected as Regional Director, Chicago, in 1980. He started his Government career with the Air Force Auditor General in 1961 after working with a CPA firm in Denver, Colorado. Bob has been with DCAA since its inception, and has been assigned to contract audit offices in Denver; Lockheed, Sunnyvale, CA; various offices in the San Francisco area; the Boeing Resident Office (Seattle); and, most recently, Regional Audit Manager in the San Francisco Region. He is a certified public accountant (Colorado) and participated in the DCAA Executive Development Program. During his career he has received numerous DCAA awards. In addition, Bob needs but one course to complete his work towards his master's degree. He is a member of the Association of Government Accountants.



PATRICK D. MIRCH
REGIONAL DIRECTOR, LOS ANGELES

Mr. Mirch was promoted to Regional Director, Los Angeles in 1980. He started his Government career with the Army Audit Agency in 1955, where he served in various positions in the San Francisco and Washington, D.C. areas. Pat has been with DCAA since its inception and has served at Headquarters as well as in regional positions. His most recent assignment was as Deputy Regional Director, Los Angeles Region. Pat is a certified public accountant and a certified internal auditor. He has a bachelor's degree from Santa Clara University, Santa Clara, California. He also has a master's degree in management and supervision from Central Michigan University. He participated in the Agency's Executive Development Program.



HARVEY DELLA BERNARDA
REGIONAL DIRECTOR, PHILADELPHIA

Mr. Della Bernarda was selected as Regional Director, Philadelphia, in 1980. He started his Government career with the Navy Audit Service in September 1961, and has been with DCAA since its inception. He has been assigned to several contractors in the Connecticut area including General Dynamics (Electric Boat), worked in two Headquarters organizations, and, most recently served as Regional Special Programs Manager in the Atlanta Region. Harvey is a certified public accountant (Virginia) and a certified internal auditor. He has a bachelor's degree from the University of Connecticut and a master of arts degree in management and supervision from Central Michigan University. He has received several DCAA awards and participated in the Agency's Executive Development Program. He is a member of the Association of Government Accountants, the American Institute of Certified Public Accountants, and the Georgia Society of Certified Public Accountants.



BERNARD TOPF
REGIONAL DIRECTOR, SAN FRANCISCO

Mr. Topf was selected as Regional Director, San Francisco, in 1980. Before that, he was Philadelphia's Deputy Regional Director. He started his Government career with the Army Audit Agency in 1960 after working in a public accounting firm. He has served in contract audit positions in the New York City area, Los Angeles, San Francisco, and Philadelphia. He has been with DCAA since its inception. He is a certified public accountant (New York and California) and a certified internal auditor. He has a bachelor's degree from the City College of New York and has a master of arts degree in management and supervision from Central Michigan University. He participated in the DCAA Executive Development Program. He is First Vice-President of the Philadelphia Chapter, Association of Government Accountants. He has received the DCAA Civilian Award for Achievement among other awards.

INDEPENDENCE OF THE CONTRACT AUDITOR

To serve management most effectively, an auditor must be independent. This crucial requirement is codified in the General Accounting Office (GAO) audit standards to which DCAA must adhere. Repeatedly the requirement that contract audit remain independent has been supported by the Congress, by GAO, and by top-level management of the Department of Defense.

Organizational placement of the audit organization is so important that GAO proposes to emphasize it more in its 1980 draft revision of the statement of governmental audit standards. The current (1972) GAO statement covers the importance of organizational independence in its discussion of potential impairments, but the basic standard itself only requires that the audit organization (as well as the individual auditors) maintain an independent attitude. The draft revision would add the word "appearance," as well as the words "must be organizationally independent." Thus, GAO's proposed 1980 standard on independence reads:

In all matters relating to the audit work, the audit organization and the individual auditors must be organizationally independent and shall maintain an independent attitude and appearance. (Added words underscored.)

Applying the standard on audit independence to the contract audit function requires looking at the delicate balance between the service of the contract auditor as a part of the evaluation team supporting the Government's contract decisionmaker--the contracting officer--and the service of the contract auditor as an independent evaluator of the contractor's cost representations to that contracting officer. Not at issue is the ultimate responsibility and concomitant authority of that contracting officer. He or she must make all the final decisions for the Government in dealing with the contractor, regardless of whose advice is considered.

Since the contracting officer is the decisionmaker, the question sometimes arises as to whether the contract auditor could be merely a member of an individual contracting officer's personal team or whether the contract auditor must also be in a position to give independent advice to that contracting officer concerning acceptability of the contractor's cost representations. In other words, is it enough for the contract auditor to give only the information desired, when and if it is desired? No, the standard of independence requires that the contracting officer have the benefit of objective recommendations from qualified professional auditors. This standard could not be achieved if contract auditors were administratively responsible to individual contracting officers.

The question of contract auditor independence was again addressed by the Task Force on Evaluation of Audit, Inspection and Investigative Components of the Department of Defense. This independent task force was required by Congress in the Inspector General Act of 1978, and issued its report on 1 May

1980. Like so many other studies before, this task force concluded that independent contract auditing was valuable and accordingly DCAA should remain independent of acquisition organizations.

In the words of this latest task force report, DCAA's "organizational independence for procurement and contract administration personnel, and its procedural freedom to select the depth and scope of its audit activities, enables DCAA to provide fair, accurate, and objective audit advice during the price negotiation and contract administration phases of Defense acquisition."

COMPENSATION

Improvements are needed in the compensation system for Government auditors. Several items directly and adversely impact our capability to recruit and retain highly qualified auditors, audit managers, and audit executives.

The Agency has established a mandatory auditor rotation program in order to maintain the independence and objectivity of contract audit. Auditors are required to change contractor contacts within approximately 5 to 7 years in order to maintain complete independence. This policy causes considerable concern among those required to physically relocate their residence. Government compensation for these relocations is never sufficient. In times when mortgage rates are well in excess of 15 percent and the price of housing continues to rise many people find that they cannot afford to relocate even for a promotion. Although there is very little that can be done without legislative changes, our suggestion is that changes in the compensation laws be pursued so that qualified people can be retained in the Government.

The problem of compensation also involves the salary compression at the higher grades. It is very difficult to recruit Senior Executive Service (SES) members when 6 out of 10 levels of grade GS-15 receive pay equal to SES pay. This creates a definite lack of incentive for individuals to enter SES and subject themselves to unlimited mobility requirements. Salary compression even extends to the GS-14 level in that the salary for the final step of a GS-14 now very closely approximates the first level of the SES pay. This pay limitation has lured many valuable senior employees into retirement.

ESTABLISHMENT OF AN EXECUTIVE AGENT FOR CONTRACT AUDIT

The Office of Management and Budget should direct an interagency initiative to develop executive agent assignments for performance of contract audits. These assignments would define sectors of the contracting community (such as industrial manufacturers, federally funded research and development centers, civil works constructors, and the like) and make a single Federal audit agency responsible for all audits within any one sector. For the most part, this action would merely confirm existing contract auditing arrangements and formalize the current areas of emphasis and expertise among the various audit agencies. It would further streamline administration and improve productivity in Federal contract auditing.

The Defense Contract Audit Agency recommended this initiative to the Office of Management and Budget in September 1979. While the merits have been recognized, specific implementing direction has been held in abeyance.

The requirement to have only one agency perform all Federal auditing at any one location is generally accepted. Office of Management and Budget Circular No. A-73 and Office of Federal Procurement Policy Letter No. 78-4 encourage voluntary cooperative arrangements among the departments for this purpose. Such voluntary cooperative arrangements, called cross-servicing, are intended to conserve audit resources, promote efficiency, avoid duplication of audit effort, and minimize the impact of auditing on the contractors.

Compared to cross-servicing, formal executive agent assignments would more fully meet the objectives of efficiency, economy, and effectiveness, while in some instances further minimizing the impact of auditing on the contractors. The recommended approach would bring to fruition the current trend toward concentrating areas of expertise in the various audit agencies according to sectors of the contracting community being audited. Maintaining specialized expertise in each distinctive sector requires considerable overhead costs such as for staff development and training, development of advanced techniques, computer analysis support, and publication of audit policies and procedures. Therefore, costs will be avoided if only one contract audit agency works in any one audit sector. Also, specialization improves auditor productivity, and contractors will benefit from assurance that contract auditors will have expertise in their business sector.

The executive agent approach would also streamline audit workload planning and administration. It would more adequately address the required adjustments of budgets and personnel ceilings for interagency workloads, and it would reduce paperwork burdens now involved in processing cross-servicing arrangements on a voluntary, case-by-case basis.

Based on currently established areas of audit emphasis and expertise, the agencies could work out details of the executive agent assignments on a cooperative basis with little if any disruption of operations or resources. A direction to proceed is needed from the Office of Management and Budget.

STAFFING

DCAA has the responsibility to provide accounting and financial advisory services to Department of Defense components in the negotiation, administration, and settlement of contracts and subcontracts. In performing these services, the Agency is guided by statutory requirements, regulatory provisions and generally accepted auditing principles. They are applied in a judicious manner, consistent with policy and operational guidance provided by Headquarters staff elements.

Since the Agency's inception in 1965, there has been a gradual but persistent growth in Agency responsibilities. Statutorily, Public Law 87-653, Truth in Negotiations, and Public Law 91-379, Cost Accounting Standards, have had a significant impact on resources. Real growths in the Defense budgets have likewise contributed to the demand for audit services.

Notwithstanding the increased demands, our productivity has increased over the years. In large part, the increases have been occasioned by innovation and achievement of a high level of sophistication in advanced audit techniques. Savings have been substantial, amounting to \$3.4 billion in 1979 and \$2.9 billion in 1980. Our return on each dollar invested was \$33 to \$1 and \$27 to \$1, respectively.

Although productivity and savings have both increased in recent years, staffing constraints continue to be a deterrent to maximizing savings. Increased workload due to absolute value increases in the DoD budgets as well as recognition of fraud, waste, and error initiatives have seriously hampered our efforts to achieve the full potential for savings.

To obtain a measure of savings which might be achieved through application of additional resources, we recently asked our field audit offices to assess the impact of staff increases at 10, 20, and 30 percent increments. The results indicate additional savings of \$268 million, \$137 million, and \$117 million, respectively, a total of \$522 million. The aggregate amount can be achieved with an investment of some \$27 million.

The results of our assessment indicate to us another reality. Our field audit offices perceive the need for assurance of quality work in protecting the Government's interests. We feel this assurance was considered as an absolute need in determining the effort required to realize the payback at the indicated levels of increase.

Our study considered FY 1980 only. It did not reflect any buildup which might be associated with an increased budget. Any substantial increase will occasion a need for additional resources; at the same time, equivalent savings would be realized.



DEFENSE AUDIT SERVICE

TRANSITION TEAM

BRIEFING MATERIAL

"Serving Management"

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HISTORY OF INTERNAL AUDIT

IN DOD

Responsibility of the ASD(C) for Audit Functions

Title 10, U.S. Code, Section 136

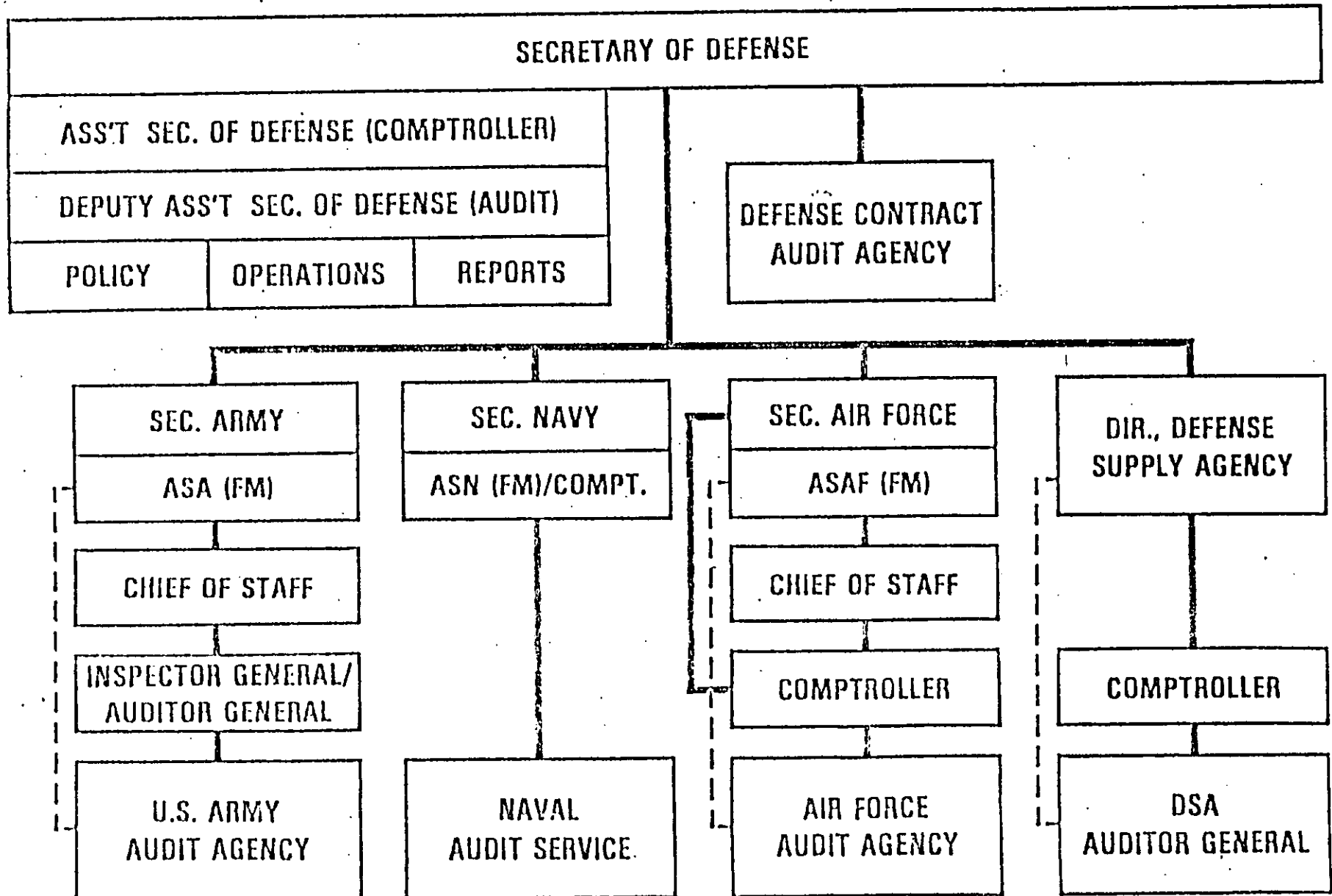
S 136. (b). ...one of the Assistant Secretaries shall be the Comptroller of the Department of Defense and shall, subject to the authority, direction, and control of the Secretary --

(3) establish and supervise the execution of principles, policies, and procedures to be followed in connection with organization and administrative matters relating to --

(D) internal audit

(Internal audit as used in the context of the code includes all auditing performed by DoD personnel.)

PLACEMENT OF AUDIT ORGANIZATIONS IN THE DEPARTMENT OF DEFENSE



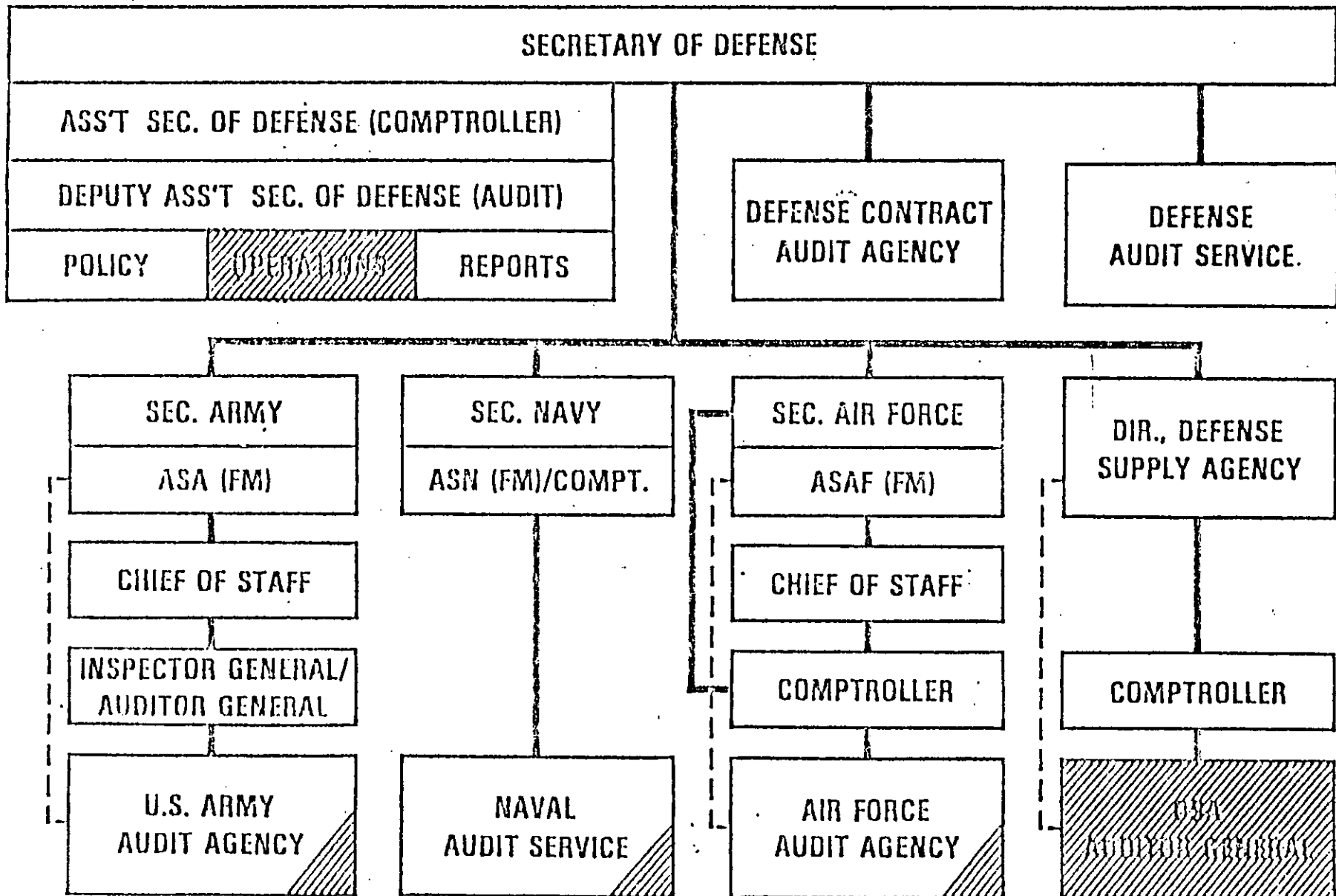
**DECISION MEMORANDUM OF
DEPUTY SECRETARY CLEMENTS**

AUGUST 17, 1976

APPROVES PLAN TO:

- **STRENGTHEN THE INTERSERVICE AUDIT PROGRAM**
- **STANDARDIZE THE AUDIT ARRANGEMENT FOR DEFENSE AGENCIES**
- **ESTABLISH AN INDEPENDENT CORPORATE AUDIT STAFF**

PLACEMENT OF AUDIT ORGANIZATIONS IN THE DEPARTMENT OF DEFENSE



SECRETARY OF DEFENSE

ASST SEC OF DEF
(COMPTROLLER)

DEP ASST SEC OF DEF
(AUDIT)

DEFENSE AUDIT
SERVICE

DEF CONTRACT
AUDIT AGENCY

SEC OF
ARMY

SEC OF
NAVY

SEC OF
AIR FORCE

ASA
(IL&FM)

CHIEF OF
STAFF

ASN (FM)
& COMPT

ASAF
(FM)

AAA

NAS

AFAA



October 14, 1976
NUMBER 5105.48

ASD(C)

Department of Defense Directive

SUBJECT Defense Audit Service (DAS)

References: (a) DoD Directive 7600.2, "Department of Defense Audit Policies," August 19, 1965
(b) DoD Instruction 7600.3, "Internal Audit in the Department of Defense," January 4, 1974

I. GENERAL

Pursuant to the authority vested in the Secretary of Defense, the Defense Audit Service (DAS) is hereby established as an Agency of the Department of Defense under the direction, authority, and control of the Secretary of Defense.

II. APPLICABILITY

The provisions of this Directive apply to the Office of the Secretary of Defense, the Military Departments, the Organization of the Joint Chiefs of Staff, the Defense Agencies, and the Unified/Specified Commands (hereinafter referred to as "DoD Components").

III. ORGANIZATION AND MANAGEMENT

- A. The DAS shall consist of: a Director, a headquarters establishment, and such subordinate elements as are established by the Director, DAS, for the accomplishment of DAS's mission.
- B. The Director, DAS, will be a civilian appointed by the Secretary of Defense.
- C. The Director, DAS, shall report to the Secretary of Defense.

IV. RESPONSIBILITIES AND FUNCTIONS

- A. The Director, DAS, shall organize, direct, and manage the DAS and all elements and resources assigned to the DAS.

B. In accordance with references (a) and (b) the Director, DAS, shall:

1. Plan and perform internal audits of the Office of the Secretary of Defense, the Organization of the Joint Chiefs of Staff, the Unified/Specified Commands, and the Defense Agencies.
 2. Plan and perform interservice audits in all DoD Components.
 3. Plan and perform quick response audits on matters of special interest to the Secretary of Defense.
 4. Plan and perform audits of the Security Assistance Program at all levels of management.
 5. Plan and perform such other audits as requested.
- C. The Assistant Secretary of Defense (Comptroller), shall provide staff supervision in the establishment and execution of principles, policies, and procedures.
- D. All DoD Components shall provide, within the scope of their assigned functional responsibilities, appropriate assistance, and logistical and administrative support to the Director, DAS, as required to carry out the responsibilities of the DAS.

V. RELATIONSHIPS

A. The Director, DAS, shall:

1. Coordinate actions, as appropriate, with DoD Components having collateral or related functions.
 2. Maintain active liaison for the exchange of information and advice with DoD Components, as appropriate.
- B. Programming, budgeting and financing for support of DAS operations will be in accordance with policy guidance prescribed by the Assistant Secretary of Defense (Comptroller).
- C. Field offices will be collocated with appropriate Defense Components where possible and full use made of established facilities and services in the Defense Components.

VI. AUTHORITIES

A. The Director, DAS, shall have authority for selection of personnel for appointment to the DAS.

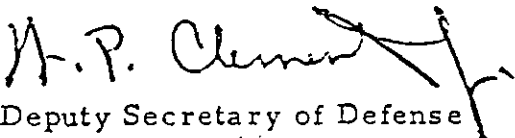
- B. In performance of his responsibilities and functions the Director, DAS, or his designees are authorized:
1. Direct access to and communications with other DoD Components and, after appropriate coordination, with other executive departments and agencies concerned with his assigned responsibilities and functions.
 2. To obtain such information from any DoD Components as may be necessary in the performance of DAS functions. The sensitivity of any activity should not act as a bar to the prompt and effective conclusion of any audit evaluation. Properly cleared auditors of the DAS have a "need to know" about any activity which affects their evaluation of DoD operations.

VII. ADMINISTRATION

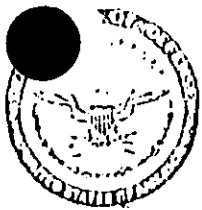
- A. DAS will be provided such personnel, facilities, funds, and other administrative support as the Secretary of Defense deems necessary.
- B. The Deputy Assistant Secretary of Defense (Administration) will provide necessary administrative support to the DAS.

VIII. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. In the event of conflict between this Directive and previous directives and instructions, the provisions of this Directive will govern. Two copies of implementing regulations shall be forwarded to the ASD (Comptroller) within 60 days.


Deputy Secretary of Defense

ORGANIZATION STRUCTURE



DEFENSE AUDIT SERVICE AUDIT RESPONSIBILITIES

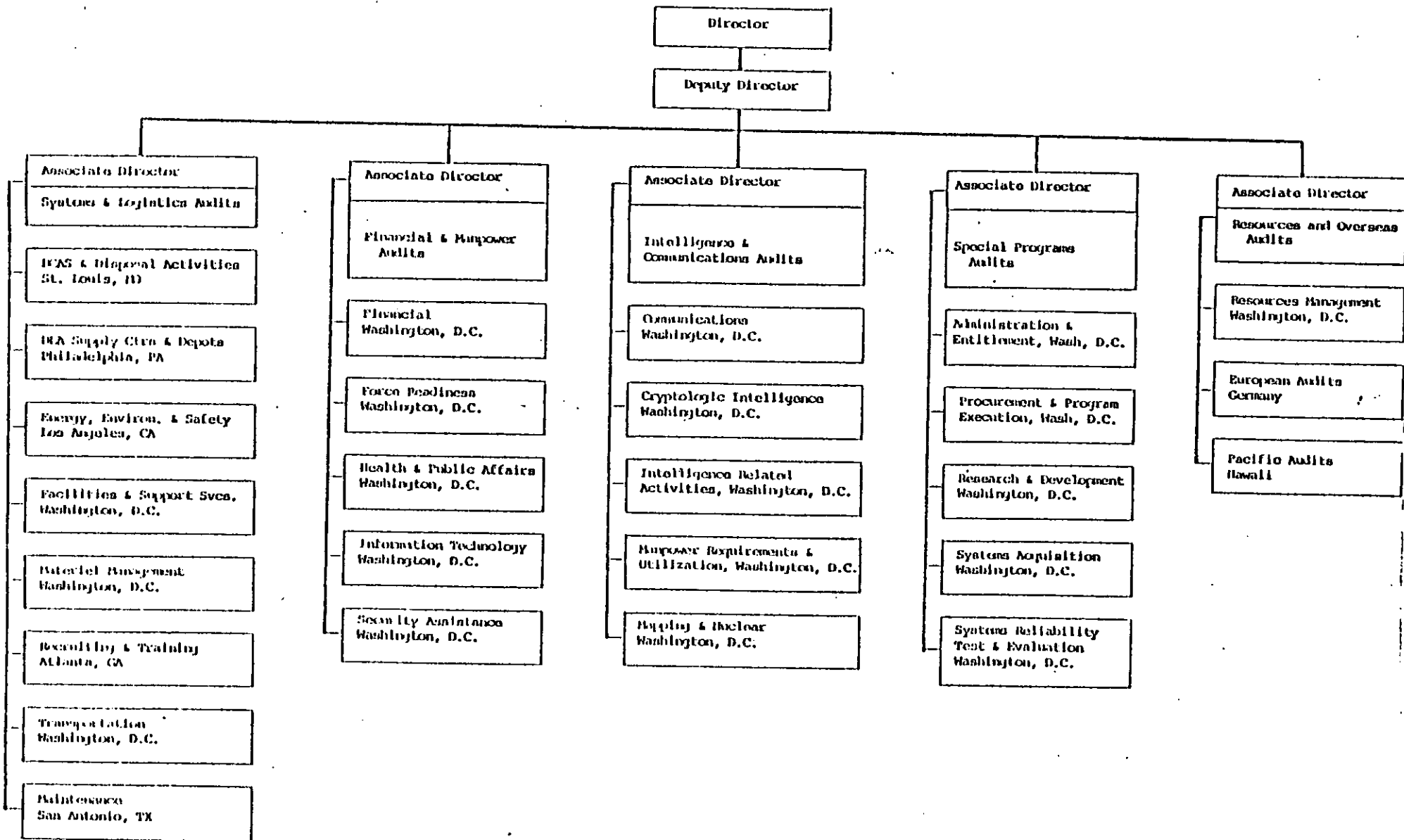
- INTERSERVICE AUDITS
- SPECIAL AUDITS
- THE SECURITY ASSISTANCE PROGRAM
- CONTINUING AUDITS

OFFICE OF THE SECRETARY OF DEFENSE
ORGANIZATION OF THE JOINT CHIEFS
OF STAFF

UNIFIED AND SPECIFIED COMMANDS

DEFENSE AGENCIES (DMA, DIA, DCAA, NSA,
DARPA, DCA, DNA, DAVA, DSAA, DLA, AND DIS)

DEFENSE AUDIT SERVICE ORGANIZATION CHART



DESCRIPTIONS OF MAJOR ORGANIZATIONAL UNITS OF DAS

The following identifies DAS's major units of organization, together with a brief description of the major responsibilities of each. The lines of authority can be found in the organization chart preceding Chapter One.

Financial and Manpower Audits Division

Forces Management

This program encompasses audits of all aspects of organizing, equipping and training active and reserve combat forces. Reviews are directed toward the use made of resources provided to attain and sustain the required force structure. Systems such as the Force Status and Identity Report system and other authorization and capability reporting systems as well as contingency planning are included.

The development of unit training objectives, the extent to which those objectives are accomplished and the effectiveness of participation in field exercises are also included in this program.

Program elements 1, 2, 4 and 5 of the Five Year Defense Program and budget submissions will be covered by this group.

Health and Public Affairs

This program encompasses all aspects of the DoD medical care system including operation of hospitals and clinics; all medical (including dental) staffing requirements; and all related training requirements and facilities. Included would be requirements determinations, recruiting, assignment, utilization, classification and record keeping operations. Also included would be all aspects of the Civilian Health and Medical Program of the Uniformed Services (CHAMPUS) and the Tri-Service Medical Information System (TRIMIS).

All aspects of Public Affairs are incorporated, including the American Forces Radio and Television Service, all audiovisual programs which include the production, distribution and depository functions of motion picture, television, audio, multi-media and still photo products for training and information purposes.

Also addressed are all aspects of the Department of Defense Dependents Schools System which operates 259 schools in 25 countries.

Financial Management

This area is concerned primarily with the systems, functions, and activities established to carry out the fiscal responsibilities of DoD. Generally, financial management will include all comptroller-type services and activities relating to programming, budgeting, accounting and reporting. Specifically, financial management covers the needs for, receipt, control, and disbursement of public funds. It covers programming to the extent that it is organized within the comptroller-area.

Financial management further covers the budgeting process through the formulation, approval and execution stages. It includes all facets of accounting systems including their approval by the Comptroller General as well as their operational aspects. It covers fiscal accounting and administrative control of funds, cost accounting, property accounting, and other types of accounting.

Financial management includes contract financing, cash management, payment of civilian and military pay and allowances, and overseas banking in DoD. Many funds and accounts are covered; for example, general funds; revolving funds such as stock funds and industrial funds; deposit funds; foreign currency accounts; and transfer appropriation accounts. Financial management incorporates all aspects of disbursing and also covers various types of reporting such as financial and budgetary reporting, and progress and statistical reporting.

Further, financial management includes the responsibility for assuring that legal and legislative requirements are met in the execution of programs using appropriated funds.

Information Technology

This program includes reviews of automatic data processing (ADP) functions such as information and word processing, administrative data processing, production control systems, computers integral to weapons systems, and related telecommunications processing resources. These reviews will include evaluations of automated systems (hardware and software) and will provide design personnel, system users and applicable management levels with timely recommendations to improve operational effectiveness and system efficiency.

Some reviews would include participation in the design, development, and testing of major DoD computer systems to assure that adequate controls and safeguards are designed into approved DoD systems. Other reviews would be made of operational, automated systems and data processing installations as well as ADP systems security and data privacy controls.

The program responsibilities include providing ADP support and assistance, as needed, to Defense Audit Service teams making audits in an ADP environment.

Security Assistance

The program consists of 5 major parts:

The Military Assistance Program (MAP) through which Defense articles and services are provided to eligible recipients on a grant basis.

The International Military Education and Training (IMET) Program through which military training is provided to selected foreign personnel on a grant basis.

The Foreign Military Sales Financing Program through which loans and repayment guarantees are provided to eligible foreign governments on a fully reimbursable basis.

The Security Supporting Assistance (SSA) Program through which economic assistance is provided, on a loan or grant basis, to selected foreign governments.

Foreign Military Cash Sales Procedures through which eligible foreign governments purchase Defense articles, training and services.

The functional area includes audits at all levels of management of the 5 major parts, which make up the Security Assistance Program. It includes the Security Assistance Program responsibilities of the Military Departments, Unified Commands and Military Assistance Advisory Groups. Reviews in this area may cover the overall management of the program or segments of the program, specific case execution, or compliance and performance from the recipient in-country viewpoint.

Intelligence and Communications Audits Division

Communications

This program covers all aspects of the operational management, control, and supervision of DoD communications systems, activities, or services whether commercial or Government-owned. Included are the Defense Communications System (DCS), Communications Satellite System, and programs funded by the Military Departments; and all special purpose and dedicated networks, systems and programs that support the functions of command and control (including alert and warning) at both the strategic and tactical level. The area also includes responsibility for

internal audit coverage of the Defense Communications Agency (DCA) except audits of payroll and personnel that are covered through other functional programs.

Cryptologic Intelligence

This program includes signal intelligence and communications security for all of DoD. It encompasses the National Security Agency, as well as the cryptologic mission operations of the Army, Navy and Air Force. Audits would cover all aspects of operational management and analysis of the effectiveness and efficiency of mission results in relation to the resources provided through the Consolidated Cryptologic Program and the Communications Security Program. In addition, audit responsibility also includes all areas supporting the mission operations of the National Security Agency. This involves supply management, comptroller services, maintenance, procurement, personnel, research and development, computer operations, communications and field activities.

General Intelligence

This program includes audits of the DoD-wide functions and activities involved in collecting, analyzing, and producing data for basic intelligence, current indications and warning intelligence, intelligence estimates, long-range threat forecasts and scientific and technical intelligence to support DoD requirements. Functions and activities involved in counter intelligence and photo interpretation are also included. Audits of operational management procedures and analyses of the effectiveness and efficiency of mission results in relation to the resources provided through the General Defense Intelligence Program are included. Excluded are audits of the Consolidated Cryptologic and Intelligence Related Activities programs not funded in the General Defense Intelligence Program. Also, excluded are reviews of basic support functions such as payroll, supply, and maintenance, that are covered through other functional programs.

Intelligence Related Activities

This program includes audits of the operational or mission aspects of tactical surveillance and warning systems, tactical battlefield support systems (e.g., reconnaissance assets), tactical ocean support systems, intelligence staff support, intelligence direct support systems, Reserve and National Guard intelligence activities, and intelligence training functions performed by the Military Departments. As part of this program function, we also review operational management procedures development of operational systems, interfaces with other National and Defense

intelligence programs, and the effectiveness and efficiency with which resources are used for intelligence related activities outside the National Foreign Intelligence Program. Also included in this function will be audits of intelligence activities of sensitive national programs for which DoD acts as executive agent. Excluded are basic support functions such as payroll, supply, and maintenance, that are covered through other program functions.

Mapping and Nuclear

This program includes the mission aspects of the DoD mapping, charting, and geodesy (MC&G) program and the DoD nuclear weapons program. The MC&G program involves Defense Mapping Agency activities and the Military Departments involved in validating requirements, tasking collectors, analyzing collection, producing MC&G products and distributing items produced. The nuclear program involves Defense Nuclear Agency activities and the Military Departments concerned with management of the DoD nuclear weapons stockpile including the operations of the consolidated nuclear weapons reporting system. The functions normally associated with integrated materiel management are included for MC&G and nuclear items. Those aspects of Research, Development, Test and Evaluation (RDT&E) programs involved with nuclear effects and MC&G programs are included here rather than in the RDT&E program. Excluded are support functions such as supply, maintenance, fund controls, appropriation accounting and property accountability that are covered through the other functional programs.

Manpower Requirements and Utilization

This program covers most aspects of the management of military and civilian manpower. General areas of audit responsibility include programing and budgeting of manpower resources, manpower resource management, force structure management, and manpower management information systems. Specifically included are all actions affecting the: manpower programs of the Military Departments, Defense agencies and OSD staffs; military or civilian space and/or man-year authorizations and associated funding programs; and activation, inactivation and changes to units and activities. Excluded areas include training, career development and personnel readiness.

Special Programs Audits Division

Systems Acquisition

This program includes the management processes through which major weapon systems as defined in DoD Directive 5000.1, are acquired by DoD. Reviews are based on threat assessments applicable to Defense Systems Acquisition Review Counsel (DSARC) Milestone 0 - Program Initiation, as well as OSD and Military Department subsequent reassessment requirements (DSARC Milestones I through III) as related to individual weapon systems. Included are matters such as trade-off analyses among alternative weapon systems, cost versus operational capability alternatives, DSARC issue items, production and life cycle costs, and qualitative and quantitative requirements determinations and justification as related to major weapon systems acquisition plans and programs.

Research and Development (R&D)

This area covers the mission aspects of basic and applied research and developmental and applied engineering. The operations of R&D activities and studies and analyses efforts are included in this program. Primary emphasis will be on the performance of mission tasks, the scheduling and programming of operations, the degree of control exercised in assuring validity of results, and the extent to which accomplishments are used to influence doctrine and acquisition decisions.

Systems Reliability, Test and Evaluation

This program includes reviews of the adequacy of DoD policies and procedures for determining the reliability and dependability of major weapons to perform according to plan under potential combat or hostile conditions. Assessments will be made of test and evaluation procedures including test range results employed to determine the feasibility of proceeding with procurement and deployment of new systems developed in research and development programs. Reviews will include a determination of methods used to resolve systems defects discovered during operational performance and the cost-effectiveness of alternatives selected to assure that mission accomplishments are not degraded under stress situations. Evaluations will also be made to determine that prompt disposition is undertaken on systems deemed too technically deficient to accomplish mission goals, or where the cost to correct mechanical deficiencies is too high.

Procurement and Program Execution

This program includes reviews of the adequacy of DoD policies, procedures and practices for acquiring approved major hardware and software systems, products, and services. These reviews will focus on evaluating the processes for DoD validation of requirements, determining that procurement schedules are realistic, and reviewing methods used to obtain timely acquisition. Emphasis will be placed on the adequacy of DoD administrative practices employed to forecast procurement, production and delivery dates; establish obligation and outlay targets based on these forecasts; and monitor the progress of program execution. The acquisition process will include reviews of procurement requests, invitations to bid, methods of contracting, and the negotiation, award and administration of contracts.

Administration and Entitlements

This audit program area encompasses the activities and functions involved in the (a) development and execution of the retired military pay and reserve programs; (b) determination and payment of entitlements to retired military personnel or their survivors, members of the Reserve Forces and the National Guard; (c) establishment and maintenance of data bases for retired military personnel, their survivors, the Reserve Forces and the National Guard; and (d) the administration of related programs. Reviews will include the planning, programing, budgeting and implementing of actions required to economically, effectively, and efficiently accomplish related program objectives. Reviews in this area are of an interservice nature and in some instances are of an inter-departmental nature. Effective working relations are required to be maintained with the Veterans Administration and the Departments of Commerce, Transportation, and Health, Education and Welfare.

Systems and Logistics Audits Division

Materiel Management

This program includes DoD-wide audits of activities and facilities dealing with all aspects of supply system operations and those dealing with logistics data systems. Included are supply operations and related accounting systems such as inventory control points managing wholesale inventories, depots, inventories in transit, installation level supply operations, and materiel in the possession of using and supporting organizations and units. Some of the functions are inventory control, storage and issue, requirements computations, war reserves, requisitioning, warehousing, stock balance and consumption reporting systems,

reutilization screening processes, the Federal Catalog program for identifying and cataloging items of supply, item standardization programs, and management of technical data items of supply. Excluded are individual weapon system acquisitions, transportation, maintenance and overhaul, procurement, contract administration, and property disposal.

Transportation

This program includes DoD-wide and interservice audits of all aspects of the programs, systems, and activities of the Defense Transportation System. Included in the transportation system are the operation, control, and supervision of all functions incident to the effective and economical procurement and use of transportation and traffic management involving the land, sea, or air movement of personnel and equipment using both military and commercial sources. The Program Director must work closely with other Government agencies and the public sector. Components of the Defense Transportation System are the Military Traffic Management Command, the Military Airlift Command, the Military Sealift Command and the Service Transportation Offices. Only those functions related to the mission of the DoD Transportation System are in the program. Excluded are the everyday housekeeping activities and functions performed by and for these components and those responsibilities directly related to the parent Service requirements unless specific requests dictate DAS audit involvement.

Facilities and Support Services

This program includes DoD-wide and Defense agency audits of:

- maintenance, repair and utilization of real property and equipment,
- military construction,
- housing programs (family, bachelor and leased housing), and
- support services.

Reviews will be made of the management of real and installed property from determination of the need of the property through maintenance, use and disposal. Some of the specific audit entities included are in-house construction; utility systems; maintenance

of land, buildings, facilities, and installed property; fire protection; family housing programs; and related costs and property accounting systems. This program also includes evaluations of the various services required to support the operations and maintenance of a military facility or organization. It includes audits of Service-wide operations, such as mess hall operations; appropriation-funded morale, welfare and recreation functions; quarters; religious activities; and retail store operations (such as clothing and commissary).

Defense Logistics Agency (DLA) Supply Centers and Depots

This program includes audits of major supply support missions assigned to 5 DLA supply centers (excludes Defense Fuel Supply Center) and 7 field depots. The supply management functions of the supply centers include requirements computation, supply control, provisioning, procurement, requisitioning processing, distribution, materiel management, standardization and inventory accountability. Areas of audit responsibility at the depot level include receipt, inventory management, warehousing and distribution. In addition to the 7 DLA-managed depots, the Program Director has responsibility for mission audits at those Service-managed depots that perform distribution missions for DLA-owned commodity materiel. Also included are audits of storage facilities for subsistence worldwide.

Recruiting and Training

This program includes DoD-wide audits of the recruiting, training and education of military personnel. It also includes DoD-wide audits of the education and training of civilian employees. The overall objectives of these audits are: to review and evaluate the effectiveness, efficiency and economy of the DoD management of personnel and resources used in recruiting, education and training; and to determine whether there is unnecessary duplication and/or potential for the consolidation or elimination of certain functions or activities.

Defense Contract Administration Services and Disposal Activities

This program includes audits in the following areas:

- Contract Administration. The activities involved in the administration of contracts, quality assurance, Government-furnished property administration and industrial security are included in this program. Reviews of deliveries, undelivered

items, contract financial status, program status, partial and advanced payment terms, and intransit inventory controls are included. This area includes reviews of DoD contract administration organizations. The establishment of requirements and the storage and distribution of materiel to meet the needs of consumers are not covered except when these matters are directly effected by contract administration practices and procedures.

- Property Disposal Activities. This program reflects the management and control of inventories accounted for in the Integrated Disposal Management System from receipt through disposition including in-transit accountability from the turn-in activity and to the receiving activity. Some of the identifiable functions are receipt and storage, utilization, donation, demilitarization, sales, downgrading to scrap, precious metals recovery, and ship and aircraft sales.

- Accountability and Security of Small Arms, Ammunition and Explosives. This program reflects the management and control of inventories from acquisition to use or disposal. Some of the identifiable functions are inventory control, storage and issue, security, requisitioning, and stock balance and consumption reporting systems.

Maintenance

This program includes the various systems facilities, services, and activities devoted to the maintenance, repair, and overhaul of equipment and supplies. It includes organic and contractual organizational, intermediate, and depot repairs. Also covered is the use of equipment and supplies by maintenance and repair activities. Maintenance operations funded by industrial funds are also in this program. Reviews will cover maintenance philosophies, and concepts developed during weapon and subsystem conception, design, test and operation. Some of the identifiable functions are depot maintenance, vehicular maintenance (for example, tanks, personnel carriers and trucks), ship overhaul, missile and other ordnance maintenance, maintenance of organizational materiel, and related cost and appropriation accounting for maintenance and repair activities. Maintenance of real property will not be included.

Energy, Environment and Safety

This program includes audits of programs under the cognizance of the Deputy Assistant Secretary of Defense (Energy, Environment and Safety). Energy programs include fuel supply assurance, development of alternate fuels, energy technology application, engineering and analysis, conservation investment, conservation management and training.

Environmental programs require compliance with environmental laws and environmental protection agency regulations. The programs deal with air and water pollution abatement, hazardous material management, solid waste disposal, noise suppression, pesticide management, environmental impact statement, conservation of natural resources, and preservation of historic sites.

Safety programs require compliance with work place safety standards established in accordance with the Occupational Safety and Health Act of 1970. DoD safety policy requires safety training for employees, mishap investigation, standardized reporting of mishaps, and use of personal protective equipment if work place hazards cannot be eliminated. DoD safety programs also cover chemical weapon systems ammunition, explosives, hearing conservation, traffic safety, flight safety, nuclear safety and system safety engineering.

RESOURCES & OVERSEAS AUDITS DIVISION

Resources Management

This organizational element performs the following functions:

1. Directs all phases of the DAS personnel management and staff development activities.
2. Directs all phases of the DAS financial administrative activities. Manages financial activities such as development of the Program Objective Memorandum, formulation and execution of annual operating budgets, and financial reporting.
3. Directs the development of Agency-wide policy instructions in accordance with the objectives and concepts of operation established by the Director and/or Deputy Director.
4. Directs the DAS ADP program to include the development and maintenance of a management information system and maintaining a staff of auditor/ADP specialists trained to provide consulting service and assistance on ADP matters to the audit teams.

European Audits/Pacific Audits

This program area includes audits of Unified Command organizations and functions, audits of any Defense program, function, or system when audit scope is limited to the overseas theater, and special audits of activities within the theater in response to OSD or Unified Command requests. The Program Director represents the Director, DAS in dealings with the overseas Unified Command and the Military Departments overseas commands and activities. He acts as point of contact for all commands in the theater for ongoing audits.



DEFENSE AUDIT SERVICE

SEMIANNUAL AUDIT PLAN

FIRST HALF OF FISCAL YEAR 1981

"Serving Management"

August 27, 1980

DEFENSE AUDIT SERVICE
SEMIANNUAL AUDIT PLAN
FIRST HALF OF FISCAL YEAR 1981

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DEFENSE AUDIT SERVICE

SEMIANNUAL AUDIT PLAN

FIRST HALF OF FISCAL YEAR 1981

INTRODUCTION

PURPOSE

This semiannual audit plan is being distributed to all audit clients of the Defense Audit Service (DAS) and other interested activities to make known which audits have been scheduled by DAS for the first half of FY 1981.

This document also contains a fact sheet for each scheduled audit showing background, scope and planned objectives. Another semi-annual audit plan will be issued in March 1981, which will show scheduled audits for the second half of FY 1981.

MISSION

The mission of DAS is to:

1. Plan and perform internal audits of the Office of the Secretary of Defense, the Organization of the Joint Chiefs of Staff, the Unified/Specified Commands, and the Defense Agencies.
2. Plan and perform interservice audits in all DoD Components.
3. Plan and perform quick response audits on matters of special interest to the Office of the Secretary of Defense.
4. Plan and perform audits of the Security Assistance Program at all levels of management.
5. Plan and perform such other audits as requested.

POLICY

It is DAS policy to adhere to the Standards for Audit of Government Organizations, Programs, Activities and Functions, established by the Comptroller General.

A U D I T P L A N

I N T E L L I G E N C E A N D

C O M M U N I C A T I O N S

A U D I T S

DEFENSE AUDIT SERVICE

AUDIT PLAN

PERIOD: First Half of Fiscal Year 1981

IC DIVISION

Estimated

<u>Line No.</u>	<u>Title</u>	<u>Audit Number</u>	<u>Start Date</u>	<u>Completion Date</u>
<u>Carry-Over Audits (as of 9/30/80)</u>				
1.	Defense Mapping Agency Publications and Service	OIW-XXX		2/81
2.	Nuclear Weapons Effects Simulators	OIW-112		1/81
3.	Civilian Pay-National Security Agency-Phase II	OIK-118		12/80
4.	Physical Security-National Security Agency	OIK-054		11/80
5.	Consultant Services-National Security Agency	OIK-133		11/80
6.	Tactical Imagery	OIG-123		4/81
7.	DoD Bonus Program	OIJ-120		4/81
8.	Intelligence Training	OIG-122		4/81
9.	Manpower Requirements	OIJ-XXX		3/81
10.	Tactical Command and Control	OIC-091		10/80

1st Half FY 1981 Audits

11.	Defense Mapping Agency Map and Chart Production	LIW-XXX	2/81	
12.	Management of Nuclear Material	LIW-XXX	1/81	
13.	Civilian Pay-National Security Agency-Phase III	LIX-XXX	12/80	
14.	Physical Security-National Security Agency-Phase II	LIX-XXX	11/80	
15.	Progress Payments-National Security Agency	LIX-XXX	12/80	
16.	Civilian Welfare Fund-National Security Agency	LIX-XXX	10/80	
17.	Intelligence Support to Test and Evaluation	LIX-XXX	10/80	
18.	DoD/GAO HOTLINE Operations	LIN-XXX	10/80	
19.	Electronic Warfare-Phase II (SOTAS)	LIC-XXX	10/80	
20.	Tactical Command and Control- Phase II	LIC-XXX	10/80	

F E N A N C I A L A N D M A N P O W E R

A U D I T S

DEFENSE AUDIT SERVICE

AUDIT PLAN

PERIOD: First Half of Fiscal Year 1981

FM Division

Estimated

<u>No.</u>	<u>Title</u>	<u>Audit Number</u>	<u>Start Date</u>	<u>Completion Date</u>
<u>Carry-Over Audits (as of 9/30/80)</u>				
	Logistics Support to European Forces	OFR-065		10/80
	Supply Performance-Army Foreign Military Sales Cases	OFA-082		12/80
	Military Exchange Systems	OFM-114		12/80
	Fire Support Weapons-Europe	OFR-103		12/80
	Audiovisual Support to Military Recruiting	OFM-XXX		10/80
	Computer Readiness of CONUS Deployable Units	OFF-113		12/80
	Foreign Military Sales Direct Cite Procurement	OFA-083		3/80
	Israeli Air Base Construction Program	OFA-130		12/80
	Processing Commercial Accounts-DLA	OFH-124		1/81
	Dissemination of Classified Information	OFH-127		12/80

1st Half FY 1981 Audits

	Accounting Systems	1FH-XXX	10/80	
	Material Readiness of CONUS Medical Units	1FM-XXX	10/80	
	Reserve Component Personnel Data System	1FR-XXX	10/80	
	Munitions Program-PACOM	1FR-XXX	10/80	
	Unliquidated Obligations-DLA	1FH-XXX	10/80	
	Navy Cross-Disbursing for DLA	1FH-XXX	10/80	
	Supply Performance-Air Force Foreign Military Sales Cases	1FA-XXX	11/80	
	Government Furnished Material for Foreign Military Sales	1FA-XXX	12/80	
	Life-Cycle Management of the DoD Standard Warehouse and Shipping Systems	1FF-XXX	12/80	
	Battlefield Computer Systems	1FF-XXX	1/81	
	COMUS High Dollar Providers	1FM-XXX	1/81	
	Munitions Program-EUCOM	1FR-XXX	1/81	
	Security Assistance Program-Saudi Arabia and Egypt	1FA-XXX	3/81	

SPECIAL PROGRAMS

AUDITS

DEFENSE AUDIT SERVICE

AUDIT PLAN

PERIOD: First Half of Fiscal Year 1981

SS Division

Estimated

<u>Title</u>	<u>Audit Number</u>	<u>Start Date</u>	<u>Completion Date</u>
<u>Carry-Over Audits (as of 10/1/80)</u>			
Personnel Admin-Evaluation System	OAO-099		11/80
Active Reserve Bonus Programs	OAO-102		12/80
Test & Evaluation-Navy	OAD-100		12/80
Life Science R&D Program	OAE-087		11/80
Development Research-Army	OAE-XXX		2/81
Theater Nuclear Weapon Systems Requirements	OAE-086		11/80
Procurement Fund Requirements Weapons	OAE-078		10/80
Small Business Procurement	OAP-XXX		2/81
Integrated Logistics Support-Lamps III	OAP-089		10/80
<u>1st Half FY 1981 Audits</u>			
Systems Reliability-Air Force	LAD-XXX	10/80	
Mission Element Needs Statement-Advance Tactical Aircraft	LAE-XXX	10/80	
Integrated Logistics Support-Army Blackhawk System	LAP-XXX	10/80	
DOD Medical Research Programs	LAE-XXX	11/80	
Mission, Element Needs Statement(MENS) ASW Systems	LAE-XXX	11/80	
Affirmative Action Program	LAO-XXX	11/80	
Active Reserve and National Guard Payroll Controls	LAO-XXX	11/80	
Test & Evaluation-Air Force	LAD-XXX	1/81	
Development Research-Air Force	LAE-XXX	2/81	
SAR System-Army	LAP-XXX	2/81	
Tracked Vehicle Requirements	LAE-XXX	3/81	

S Y S T E M S A N D L O G I S T I C S

A U D I T S

DEFENSE AUDIT SERVICE

AUDIT PLAN

PERIOD: First Half of Fiscal Year 1981

SY Division

Estimated

<u>Line</u> <u>No.</u>	<u>Title</u>	<u>Audit</u> <u>Number</u>	<u>Start</u> <u>Date</u>	<u>Completion</u> <u>Date</u>
<u>Carry-Over Audits (as of 9/30/80)</u>				
1.	Technical Data for Items of Supply	OSS-123		1/81
2.	Management of BOQs	OSI-086		11/80
3.	Leased Property	OSI-093		11/80
4.	DoD Paid Parking Program	OSI-136		2/81
5.	Defense Railway Fleet	OST-039		12/80
6.	Container Utilization-Phase I	OST-053		10/80
7.	Personal Property-Phase II	OST-131		2/81
8.	Container Utilization-Phase II	OST-XXX		5/81
9.	Military Personnel Retention	OS4-079		11/80
0.	Guaranteed Training	OS4-125		4/81
1.	Flight Management Control System	OS6-108		12/80
2.	Productivity Enhancement	OS6-115		2/81
3.	Energy Technology	OS8-105		11/80
4.	Conservation Techniques	OS8-129		12/80

First Half FY 1981 Audits

5.	Integrated Management of Non-consumables	ISS-XXX	10/80	
6.	Retail Stockage Criteria	ISS-XXX	3/81	
7.	Inventory Control	ISS-XXX	2/81	
8.	Productivity Measurement in Real Property Maintenance Activities	ISI-XXX	11/80	
9.	Evaluation of Defense Retail Interservice Support Program	ISI-XXX	11/80	
0.	Adequacy of Military Family Housing	ISI-XXX	2/81	
1.	DoD Freight Classification System	IST-XXX	3/81	
2.	Retention Policies and Procedures-Officers and Cadets	IS4-XXX	11/80	
3.	Graduate Education	IS4-XXX	3/81	
4.	Defense Activity for Non-traditional Education	IS4-XXX	3/81	
5.	Precious Metal Recovery and Utilization	ISS-XXX	10/80	
6.	Administration of Cost Accounting Standard 410-General and Administrative Expenses	ISS-XXX	10/80	

DEFENSE AUDIT SERVICE

AUDIT PLAN

PERIOD: First Half of Fiscal Year 1981 (Continued)

SY Division

Estimated

<u>Title</u>	<u>Audit Number</u>	<u>Start Date</u>	<u>Completion Date</u>
Engineering and Technical Services	1S6-XXX	10/80	
Aircraft Modification	1S6-XXX	1/81	
Occupational Safety and Health Training	1S8-XXX	11/80	
Fuel Consumption Reporting	1S8-XXX	1/81	
Controls Over Material Receipts and Payments for Fast Pay Contracts-DLA	1SL-XXX	10/80	
Management of Subsistence and Clothing/Textiles at Non-DLA Activities	1SL-XXX	10/80	

EUCOM FIELD OFFICE

AUDITS

DEFENSE AUDIT SERVICE

AUDIT PLAN

PERIOD: First Half of Fiscal Year 1981

EUCOM Field Office

Estimated

<u>Line</u> <u>No.</u>	<u>Title</u>	<u>Audit</u> <u>Number</u>	<u>Start</u> <u>Date</u>	<u>Completion</u> <u>Date</u>
<u>Carry-Over Audits (as of 9/30/80)</u>				
.	Procurement Operations-EUCOM	OSX-107		11/80
.	Subsistence-DLA/USEUCOM	OSX-XXX		2/81
<u>1st Half FY 1981 Audits</u>				
.	Property Disposal-DLA/USEUCOM	1SX-XXX	12/80	
.	Intelligence Operations-EUCOM	1IX-XXX	2/81	

PACOM FIELD OFFICE

AUDITS

DEFENSE AUDIT SERVICE

AUDIT PLAN

PERIOD: First Half of Fiscal Year 1981

PACOM Field Office

Estimated

<u>line</u> <u>no.</u>	<u>Title</u>	<u>Audit</u> <u>Number</u>	<u>Start</u> <u>Date</u>	<u>Completion</u> <u>Date</u>
<u>Carry-Over Audits (as of 9/30/80)</u>				
1.	Pacific Stars and Stripes	0FV-110		11/80
2.	Communications, Republic of Korea	0IV-116		1/81
3.	Bulk Petroleum, Republic of Korea	0SV-132		12/80
<u>1st Half FY 1981 Audits</u>				
1.	CHAMPUS Controls, PACOM	1FV-XXX	11/80	
2.	Management of DLA Subsistence Inventories in Hawaii	1SV-XXX	11/80	
3.	DoD Construction Programs, Republic of Korea	1SV-XXX	11/80	
4.	DoD Programs to Control Sales Exchange and Commissary Goods-PACOM	1SV-XXX	1/81	
5.	Military Service Intelligence Operations-Hawaii	1IV-XXX	2/81	
6.	High Frequency Communications Network-PACOM	1IV-XXX	2/81	

FACT SHEETS

I N T E L L I G E N C E A N D

C O M M U N I C A T I O N S

A U D I T S

DMA Map and Chart Production

Background

The Defense Mapping Agency's primary mission is to produce maps, charts and other geodetic products for the DoD. The Aerospace Center in St. Louis, Missouri is primarily responsible for producing aeronautical products. The Hydrographic and Topographic Center in Washington, DC is responsible for producing hydrographic and topographic products. The audit will be limited to a review of the production of hard copies of maps and charts and will exclude production of digital data.

The production program begins with DMA selecting maps and charts for production. All maps and charts in the production process must be a validated requirement and reflected in the Mapping, Charting, and Geodetic Area Requirements Document (Gray Book).

There are three kinds of production for maps and charts: compilation, recompilation and revision. Compilation relates to the production of a never before produced map. Recompilation refers to a map that has previously been produced but is outdated to the point that a whole new map needs to be produced. Revision relates to altering cultural details shown on a map and updating the map based on more current information.

Scope

The DMA FY 1980 map and chart program can be broken into the following categories:

- Aeronautical Products-\$6.0 million
- Hydrographic Products-\$10.2 million
- Topographic Products-\$20.8 million

Objectives

The audit objective is to perform a program results audit to determine if DMA is satisfying the DoD program for maps and charts. We will also determine if the production program is performed in an efficient and economical manner.

Potential Benefits

A prior audit of DMA map and chart production requirements disclosed that many requirements were invalid. The proposed audit should disclose whether map and charts are being produced for invalid requirements.

PROGRAM DATA

Division/Line Number	IC/11
Program Director	J. Andrejko
Project Manager	H. Gallo
Start Date	2/81
Man-Days	635

Management of Nuclear Material

Background

Nuclear ordnance materiel consists of base spare parts and military spare parts. Base spare parts are funded by the Department of Energy and may be used by the military services only for maintenance and repair of war reserve stockpile material. Military spare parts are funded by DoD and are used for maintenance and repair of training weapons, test and handling equipment. When a DOE controlled spare part can be used on both war reserve weapons and on training devices, 2 NSNs will be assigned to the part. In 1972, the Defense Nuclear Agency was designated the integrated material manager for DOE nuclear ordnance items.

Scope

The inventory of nuclear ordnance items is estimated to be valued at over \$50 million. The inventory comprises about 6,000 line items.

Objectives

The objective of the audit will be to determine how efficiently and effectively nuclear ordnance material is being managed.

Potential Benefits

In August 1973, we issued a report stating that \$1.3 million could be saved by designating DNA as the single DoD manager and storage activity for nuclear ordnance items. No actions have been taken on our recommendation. The audit will determine the extent of savings that can presently be achieved by consolidating management of nuclear ordnance material.

Tentative Locations

Headquarters, Defense Nuclear Agency, Washington, DC
Field Command, Defense Nuclear Agency, Albuquerque, NM
Various Army, Navy and Air Force Installations

PROGRAM DATA

Division/Line Number	IC/12
Program Director	J. Andrejko
Project Manager	D. Wenger
Start Date	1/81
Man-Days	500

Audit of NSA Civilian Payroll
Phase III

Background

The NSA Civilian Payroll Accounting System is designed to compute pay and leave for civilians employed under 25 different pay schedules. Eleven payroll clerks, located at Fort Meade, are each responsible for handling individual employee accounts.

NSA's civilian payroll system, computerized in January 1957, has gone through various upgrades. The system currently utilizes an IBM 370-168 with remote terminal access for on-line interactive file retrieval, updating and processing. Approximately 170 computer and remote terminal payroll software programs have been written to process payroll data and to generate records and management reports.

Phase I of the Audit of NSA Civilian Payroll was made to evaluate the adequacy of mechanized internal controls within NSA's automated payroll processing system. Significant control weaknesses and deficiencies were determined to exist within the system which could result in erroneous or fraudulent data being processed without detection.

Phase II of the audit currently in progress, addresses the propriety and accuracy of employee pay and leave entitlements, fund transfers and manual internal controls. This phase is utilizing approximately 125 data retrieval programs developed to check compliance with regulatory requirements and to assist in detecting errors or potential fraud. Discrepancies are being identified using sampling techniques, when applicable, and projected error rates are being established. The impact of the automated internal control weaknesses addressed in Phase I will be quantified and additional weaknesses in manual internal control procedures could be identified.

Scope

Phase III of the Audit of NSA Civilian Payroll will address the adequacy of computer security, program documentation and program test and debug procedures and will also provide an assessment of the reliability of computer output. Based upon the cumulative results of the audit, an overall assessment of the adequacy of the NSA Civilian Payroll System will be provided.

Objective

The objective of Phase III is to ensure that sufficient controls exist in the system's design, programming and computer operations

to assure the reliability of computer output and to preclude fraudulent data from being processed into the system. Controls over input/output data, telecommunications, batch process, access, and data recovery will be evaluated. The overall security of the system will be evaluated to include controls over forms, checks, bonds, etc. Additionally, the extent and adequacy of program documentation and system test and debug procedures will be examined. Weaknesses in these areas were identified in Phase I of the audit.

Benefits

Will provide management with:

- a. An assessment of the adequacy and existence of internal controls to preclude payroll fraud or abuse.
- b. A comprehensive evaluation of their Civilian Payroll Processing System.
- c. Information upon which to determine if sufficient justifications exist for implementing a new payroll system.

Program Data

Division/Line Number	IC/13
Program Director	F. Henderson
Project Manager	S. Santoni
Start Date	12/80
Man-Days	250

Audit of NSA Physical Security - Phase II

Background

The Physical Security Program for NSA involves the protection of agency personnel, equipment, property and classified material in various Government and contractor locations in CONUS and overseas. The Signals Intelligence and Communications Security missions of the Agency encompass compartmented intelligence operations which generate enormous volumes of classified material. Everyday, for example, NSA Headquarters destroys an average of 34 tons of classified paper material alone.

Protection of classified material against accidental or deliberate compromise is a primary concern of the NSA physical security program. The core of this program is represented by a guard force (Federal Protective Service at NSA Headquarters) which is supplemented by alarm systems, TV monitors, safes, badge, pass and key access control systems. Periodic inspections of Government facilities and contractors' plants are another part of this program. The ultimate protection however, remains with the security awareness of each individual employee and their supervisors.

The Office of the Deputy Under Secretary of Defense for Policy Review has requested we review certain aspects of the physical security program at NSA. They have expressed an interest in Agency procedures for: (1) handcarrying classified material; (2) transportation of classified material; (3) controlling classified material under "open storage" practices; (4) physical security of ADP systems; and (5) security of classified material in sensitive overseas areas.

Scope

Phase I of the audit of NSA physical security is addressing overall security planning, use of the Federal Protective Service, security violations and compromises and controls over the handcarrying of classified material. Phase II would address additional areas of the OSD audit request, supplemented by coverage of the NSA contractor physical security program.

Objectives

The objectives of the audit would be to: (1) evaluate the adequacy of certain aspects of the NSA Physical Security Program in response to the OSD areas of interest, and (2) evaluate the effectiveness of the NSA contractor physical security program.

The proposed audit would satisfy the intent of an OSD requested audit. The audit would not be geared to a dollar savings, but rather to the protection of classified material, the compromise of which could endanger the security and defense of the United States itself.

Program Data

Division/Line Number	IC/14
Program Director	F. Henderson
Project Manager	W. Franck
Start Date	11/80
Man-Days	250

Progress Payments - NSA

Background

A progress payment review was made about 4 years ago with about \$19 million in findings. The Associate Director for Financial and Manpower Audits requested on July 2, 1978, that we do a follow-up review to determine if problems identified in the prior audit had been corrected.

As of March 31, 1980, the total value of contracts with progress payment provisions amounted to \$474.4 million and the unliquidated progress payment balance approximated \$200 million. It is very important that progress payments are properly made and only when authorized and, equally important, that they are properly liquidated when items are delivered to minimize interest cost to the Government.

Scope

The objectives of the audit are to evaluate the effectiveness of policies, procedures and controls and to determine if they are effectively implemented in paying and administering progress payments.

Program Data

Division/Line Number	IC/15
Program Director	F. Henderson
Project Manager	R. Levine
Start Date	12/80
Man-Days	250

Civilian Welfare Fund - NSA

Background

The National Security Agency Civilian Welfare Fund (NSA CWF) was established on January 28, 1955, under policies and procedures governing the nonappropriated fund system within the U.S. Army. Basic guidance for nonappropriated activities is outlined in Army Regulation 230-1 "Nonappropriated Funds and Related Activities," dated February 15, 1975. Property controls and procedures are prescribed in Army Regulation 230-65, "Nonappropriated Funds Accounting and Budgeting Procedures," effective August 1, 1977. Specific guidance governing civilian welfare funds is contained in Army Regulation 230-81, "Civilian Nonappropriated Funds and Related Activities," dated November, 1973.

The NSA CWF program consisted of special sale items, social and entertainment events, a library, and a ticket service. The primary source of revenue is dividends from the NSA Restaurant Fund. During FY 1979, the CWF received approximately \$125,000 in dividend payments and approximately \$136,000 is anticipated for FY 1980. The value of all CWF property is \$117,783 with fixed assets totaling \$94,025 and expendable property amounting to \$23,758.

Scope and Objectives

The audit will determine whether NSA CWF operations comply with appropriate regulations and other applicable directives. Our review will include an evaluation of internal management controls, accounting procedures, and property controls for NSA CWF assets. The audit will cover the period October 1, 1978 through September 30, 1980, and include a selective examination of documentation and transactions considered necessary. The previous audit of the fund was performed for the period April 1, 1977 through September 30, 1978.

Program Data

Division/Line Number	IC/16
Program Director	F. Henderson
Project Manager	T.B.D.
Start Date	10/80
Man-Days	130

Intelligence Support to Test and Evaluation

Background

The Test and Evaluation (T&E) function not only assures that weapon systems in development will perform according to specifications but also serves as the last opportunity for DoD to determine the effectiveness of proposed weapon systems in their intended environment. The T&E function is basically divided into 3 types of testing: developmental, operational, and training. The success of these tests are dependent upon close coordination between the testers and the intelligence communities. There are about 60 major acquisitions in development that require the integration of threat data into both current and future test plans.

Our current review of "Intelligence Support to Test and Evaluation" (Project OIN-018) indicated there were numerous related problems that had to be resolved before the integration process can be accomplished and the operational effectiveness of future U.S. weapon systems against the enemy can be assured.

The types of problems identified in our review were as follows:

1. Developmental and operational test plans for many major systems were either not developed or were not updated prior to major DSARC milestones as required in DoD Directive 5000.3.
2. Threat simulator programs for testing the effectiveness of U.S. systems appeared unmanaged at all DoD levels. Furthermore, the development and procurement of threat simulators were not coordinated to the major acquisition process that they are supposed to support.
3. Validation of threat simulator characteristics was not being accomplished due to resource limitations or to the lack of standard threat references for this purpose.
4. Threat scenarios depicting the intended environment that U.S. systems will operate in were either not prepared or were incomplete.

Objectives

The objectives of the audit will be to evaluate:

1. The completeness of the test and evaluation plans for major systems acquisitions.
2. The threat simulator program supporting current and future acquisitions.

3. The adequacy of the procedures for validating the threat simulators used in test functions.

4. The adequacy of the threat scenario in depicting the threat environment that major systems will operate in.

Tentative Locations

USDR&E, DIA, TRADOC, DARCOM, OPNAV, NAVMAT, AFSC, FTD, NISC, MIA, FSTC, and selected test commands and ranges.

Potential Benefits

The audit could show that millions of dollars are wasted on operational tests of new weapons systems because threat simulators and test environments do not realistically depict the threat the weapons systems will encounter.

PROGRAM DATA

Division/Line Number	IC/17
Program Director	R. Sabatini
Project Manager	S. Rein
Start Date	10/80
Man-Days	600

DOD/GAO HOTLINE OPERATIONS

Background

For the past few years, there has been considerable Congressional and Executive Branch interest in the prevention and detection of fraud and waste in the Federal Government. To encourage the reporting of fraud and waste, GAO set up a fraud hotline whereby the public could telephone GAO using a toll free number to report suspected instances of fraud and waste in any executive department or agency of the Government. Within the DoD the Defense Investigative Service (DIS) was designated as a single point of contact for hotline referrals from the GAO. Each of the military departments also designated a single point of contact for referrals from DIS. In April 1979, the DoD set up a hotline operated in DIS. Hotline items received are referred to a designated point of contact in the military department or agency involved. Since hotline operations were established, there have been about 1000 complaints of alleged fraud and waste in the DoD.

All hotline items receive preliminary screening and those items determined to have merit are referred to the appropriate point of contact for action. Generally the referrals are passed to CID, NIS, OSI or the DLA-IG for further processing.

Within the DoD there is no written policy or procedure concerning hotline operations. As a result each department or agency handles referrals differently. Further, there is concern that complaints are being referred to the activity involved in the allegation for adjudication. This had resulted in closing a high percentage of the complaints as unsubstantiated reports. In addition, the name of the hotline caller was frequently identified in the referral to the activity. Further, there are indications that insufficient investigative resources are involved in adjudicating the hotline allegations.

The audit was requested by the Assistant for Audit Policy in a memorandum dated July 3, 1980. The objective of the audit will be to evaluate the effectiveness of DoD hotline operations. Specifically, the review will be performed to ensure that:

1. Methodology and depth of review are adequate and consistent at each investigative component.
2. Investigators are professionally qualified and independent of the cases being reviewed.
3. Privacy of hotline callers is adequately protected.
4. Management actions are responsive to investigative conclusion and are generally consistent within and among the DoD components.

Scope

In the 6 month period ended February 29, 1980, 519 hotline referrals were received by DIS from GAO and 282 calls were received on the DIS hotline. There are no personnel or funding resources directly identified to hotline program operations.

Tentative Locations

Defense Investigative Service
Army CID
Naval Investigative Service
Air Force Office of Special Investigation
DLA-IG

Various locations in CONUS and overseas as determined during the survey.

Program Data

Division/Line Number	IC/18
Program Director	R. Sabatini
Project Manager	A. Madison
Start Date	10/80
Man-Days	600

ELECTRONIC WARFARE PHASE II (SOTAS)

Background

Audit work has been coordinated with GAO to prevent overlap with their ongoing audit and permit us to carry out our planned review. GAO should complete their scoped-down-review by October 4, 1980.

Phase II is a continuation of work deferred under Phase I in accordance with the Deputy Director's approval to pursue a potentially high payoff audit lead (i.e. Electronically scanned antenna for the APS-94 Radar on the CV-1D Mohawk Aircraft). Phase II will be a programmatic review of the Standoff Target Acquisition System (SOTAS), an Army airborne radar system.

Scope

It is estimated that SOTAS will cost about \$1 billion to procure and about \$1.2 billion to operate and support for 20 years. We intend to review system requirements (personnel, equipment, contractor support, financial, training, software) and control over classified documents.

Program Data

Division/Line Number	IC/19
Program Director	H. Frazier
Project Manager	E. Cody
Start Date	10/18
Man-Days	650

JINTACCS (Joint Interoperability
of Tactical Command and Control Systems)
Phase II

Background

After the mid-1960s, the need for achieving compatibility and interoperability among the tactical command and control systems of the Services and Agencies was recognized by OSD and OJCS. The primary purpose of JINTACCS is to achieve the interoperability of U.S. tactical C² systems. Maximum consideration, however, will be given to considering interoperability of U.S. and NATO Systems. JINTACCS involves the 4 Services plus DIA and NSA. Projected expenditures through 1985 should approximate \$400 million.

Scope

Phase I involved a survey of numerous Tactical Command and Control Programs within OJCS and the Services. JINTACCS was identified as a program that had not been previously audited by DRS, Services, or GAO. Because of the magnitude of the program and limited staff, the scope of Phase II will be limited based upon the results of the survey conducted under Phase I of this review. If staffing and TDY funds permit, we will review the critical NATO aspects of this program.

Objectives

Determine the extent to which the Program Manager is developing the program in accordance with the intent of OJCS and OSD. Determine if JINTACCS will satisfy the requirements of the participating Services and Agencies. Ascertain the adequacy of support provided to the program manager by contractors, the Services/Agencies, and operational Commanders (CINCLANT).

Potential Benefits - Identify potential areas of cost savings or operational efficiencies as a result of our audit and recommendations. Potentially a reduction or redirection of contractual and internal effort expended by the JINTACCS Program Manager may be warranted. Another potential benefit could be the acceleration in existing testing schedules.

Program Data

Division/Line Number	IC/20
Program Director	H. Frasier
Project Manager	J. Holoshey
Start Date	10/80
Man-Days	650

FINANCIAL AND MANPOWER

AUDITS

Materiel Readiness of Selected CONUS

Medical Units Deploying to Europe

Background

DoD currently plans to immediately deploy both active and reserve medical units to the theater of operations upon mobilization. These units are expected to be in place and functioning on a phased basis starting on D-day. The medical supplies and equipment needed for each unit, specified in its table of authorized supplies and equipment, may or may not be prepositioned in theater. For a NATO contingency, designated units are periodically advised of the supplies and equipment that must be brought to the theater by the units. Recent audit reviews of medical units in Europe reported significant problems in the readiness and condition of medical supplies and equipment. The problems included unserviceable equipment, hospital sets not assembled, etc. Units with unserviceable equipment or shortages of required equipment and supplies will degrade the medical mission. Personnel in Health Affairs have expressed concern over the actual condition of supplies and equipment scheduled for deployment with medical units.

Recent mobilization exercises and studies have indicated that medical supplies and equipment in the hands of CONUS medical units may not be in a ready for use condition. Active and reserve units deploying with supplies and equipment in poor condition would result in their effectiveness being reduced. The FORSTAT reports from each active and reserve medical unit notified JCS of the status of the supplies and equipment on hand and the reason for the reported status.

Objective

This audit will determine if selected active and reserve units have all the required supplies and equipment on hand, if not stocked, in Prepositioned War Reserves (PWR) in Europe. In addition, the reported condition of supplies and equipment will be verified and the reasons for the poor condition will be determined. This will be followed through the system to determine needed corrective actions to improve the overall management and control of medical supplies and equipment. The audit will be limited to medical units scheduled for deployment within thirty days after mobilization. Since the Navy is not deeply involved during this period, the scope may be limited to Army and Air Force. The Army has 67 active and reserve medical units in this category ranging in size from battalion to detachment. The audit should be done in 2 phases, active and reserve, because of the complexity, the number

of units and the amount of supplies and equipment involved. During the survey the number of units from all Services will be identified; and a selection of specified units and type of supplies and equipment will be made for audit.

Locations

OCD
JCS
Headquarters of the Army, Navy, Air Force, Marine Corps, and
Defense Logistics Agency
Selected major Commands, Activities and Units both active
and Reserve

PROGRAM DATA

Division/Line Number	FM/12
Program Director	W. Schade
Project Manager	R. Richards
Start Date	10/80
Man-Days	450

Reserve Components Common
Personnel Data System

Background

The audit was requested by the Deputy Assistant Secretary of Defense(Reserve Affairs). By memorandum dated February 8, 1980, the Deputy Assistant Secretary of Defense was advised by DAS that the audit would begin in September 1980.

Scope

The audit will include the personnel accounting systems of the Army, Navy, Air Force, and Marine Corps reserves; and the Army and Air Force National Guard.

Objectives

1. Determine the validity of Reserve Component strength reporting within the system.
2. Determine the reliability (quality) of the critical data items reported in the system.
3. Review the current/planned computer capability within the Reserve Components to support the system.

Locations

Office of the DASD(RA); Headquarters, Army, Navy, Air Force, and Marine Corps; National Guard Bureau; and selected field activities and units.

PROGRAM DATA

Division/Line Number	FM/13
Program Director	E. Shirley
Project Manager	H. Tsuji
Start Date	10/80
Man-Days	500

Munitions Program - Pacific

Background

A shortfall in munitions support (Army, Navy, Air Force and Marine Corps) may make the strategy which the United States and Republic of Korea have adopted unworkable.

Initial research indicates significant shortcomings in munitions support when measured against the requirements of the "forward defense" strategy. Shortfalls in munitions are aggravated by the intensive firing rates anticipated in defending on or forward of existing defensive positions.

The shortfall in munitions for ground, Naval, Marine Corps and Air Forces (U.S. and Korean) may be as much as 200,000 short tons. In addition the Air Forces are short certain air-to-air and air-to-ground munitions. It may cost as much as \$1 billion to provide the munitions required.

Actions could be taken to reduce theater storage of munitions; reduce the time to move munitions from CONUS storage locations to West Coast outload-ports; increase the capability of outload ports; position ships in the Ready Reserve Fleet properly configured to haul munitions; and locate munitions at depots closer to West Coast outload ports.

Objectives

The primary objectives will be to:

- Review and quantify the threat.
- Evaluate methodology for determining requirements.
- Examine initiatives to reduce or minimize the shortfalls.
- Review the adequacy of on-hand stocks including quantities and serviceability.

Scope

The precise value of on-hand stocks of munitions and the cost of munitions still needed to fill war reserve requirements to an acceptable level is not known. However, the program may exceed \$2 billion.

Locations

OSD staff offices; Service Headquarters; Hqtrs., Pacific Command; Headquarters, Western Command; Headquarters, Pacific Fleet; Headquarters, Fleet Marine Forces Pacific; Headquarters, Pacific Air Force; appropriate activities in Okinawa, Japan, Korea, Philippines, and Guam; U.S. Armament Command; Military Traffic Management Command; and Military Sealift Command.

PROGRAM DATA

Division/Line Number	FM/14
Program Director	E. Shirley
Project Manager	H. Vanmeter
Start Date	10/80
Man-Days	600

UNLIQUIDATED OBLIGATIONS - DLA

Background

This audit was requested by DLA who provided the following justification. There are currently 4 DCASRs scheduled to be consolidated within FY 1981. These DCASRs are located in New York, Philadelphia, Dallas and Chicago. The records of these 4 DCASRs will be consolidated with the records of the 5 remaining DCASRs for continuance of payment and administration functions. It is essential that obligations and unliquidated obligations be as accurate as possible before the transfer of records and data files takes place.

Objective

The objective of the audit will be to determine the validity of memorandum and unliquidated obligations and the related weaknesses/problem areas associated with the recording and control of these amounts.

Scope

The audit affects all DoD components that have contracts being paid and administered by DCASRs. The total dollar value of unliquidated obligations will be determined during the survey.

Audit Locations

The audit will be performed at the DCASRs in the following locations: Boston, New York, Philadelphia, Cleveland, Chicago, St. Louis, Atlanta, Dallas and Los Angeles.

Program Data

Division/Line Number	FM/15
Program Director	J. McGuire
Project Manager	G. Stephenson
Start Date	10/80
Man-Days	600

NAVY CROSS-DISBURSING FOR DLA

Background

This audit was requested by DLA. No audits, inspections or investigations have been performed in this area within the last 4 years. The nonreceipt of Navy cross-disbursing data in a timely manner by DLA, creates considerable difficulties in reconciling cash transactions and causes inordinately large undistributed amounts in accounting records.

Objective

The objective of the audit will be to determine why cross-disbursing reports and disbursement/collection vouchers are consistently late and are not submitted on the specific cyclic basis.

Scope

The scope and magnitude of this audit will be determined during the survey.

Audit Locations

Tentative audit locations have been identified as Navy Accounting and Finance Center, Washington, D.C.; Naval Regional Finance Center, Washington, D.C.; Navy Finance Center, Cleveland, Ohio and the Fleet Accounting and Disbursing Center, Norfolk, Virginia.

Program Data

Division/Line Number	FM/16
Program Director	J. McGuire
Project Manager	TBD
Start Date	10/80
Man-Days	300

Review of Supply Performance-Air Force

Background

This is Phase III of a 3-phase plan to review old FMS cases in all 3 services. Navy is being covered under Phase I and Army is being covered under Phase 2.

Scope

The Defense Security Assistance Agency's (DSAA) records show a net balance of about \$3.1 billion of undelivered FMS material for FY 1964 through 1974. The DSAA records also showed deliveries in excess of the case value.

Objectives

To determine:

- effectiveness of policies and procedures for monitoring supply performance.
- the extents to which U.S. Government appropriations have not been reimbursed for material shipped to FMS customers.
- the causes of extensive delays in case closeout.

Tentative Locations

Major Activities:

Air Force Logistics Command
Air Force Systems Command
Security Assistance Accounting Center
Subordinate Activities of above commands as circumstances require.

PROGRAM DATA

Division/Line Number	FM/17
Program Director	R. Townley
Project Manager	D. Steensma
Start Date	11/80
Man-Days	530

GOVERNMENT-FURNISHED MATERIEL FOR FOREIGN MILITARY SALES

Background

DAS Report on the Interservice Audit of Government-Furnished Materiel Applied to Foreign Military Sales Items (Report No. 79-035) disclosed the Services failure to bill individual GFM requisitions to FMS cases. In response to this report and the Services' comments, the Office of the Deputy Under Secretary of Defense Research and Engineering (ODUSDRE) requested that we continue to test for unbilled GFM on FMS cases. Our efforts to cover this subject as an add on to audits designed for other purposes have disclosed instances where the cost of GFM on FMS cases continues to be unrecovered. However, it has also resulted in an extremely limited scope. While this approach has disclosed isolated losses, it does not measure the potential magnitude of the problem and cannot provide an adequate basis for formulation of substantive corrective actions. This condition was discussed with ODUSDRE and CASD(MRA&L) in June 1980. As a result, they requested that another in-depth audit be performed to determine the magnitude of the problem.

Scope

The audit of GFM used on FMS contracts will cover application by the 3 Services. Specifically, an examination will be made to determine and evaluate all possible ways for GFM to appear on FMS work and the assurance that controls either exist or are needed to ensure that GFM used on FMS cases is appropriately charged to FMS customers.

Tentative Locations

Army, Navy and Air Force FMS management sites and contractor locations through CONUS.

Program Data

Division/Line Item	FM/18
Program Director	R. Townley
Project Manager	R. Pennisi
Start Date	12/80
Man-Days	640

LIFE-CYCLE MANAGEMENT OF THE
DOD STANDARD WAREHOUSE AND SHIPPING SYSTEMS

Background

In October 1978, the OASD(Comptroller) established a management policy and system for the review and decision processes in the development of major automated information systems (AIS). This life-cycle management (LCM) system was instituted to implement the requirements of OMB Circular A-109 "Major Systems Acquisitions," as it pertained to AISS. In recent General Accounting Office reports and Congressional hearings, the Congress has shown increasing interest in what actions DoD has taken to implement the LCM procedures. As a result of this interest, the DASD(Management Systems) requested that DAS review the implementation of LCM in the Military Departments. We have completed the review (Project OFF-046) and are preparing the audit report.

The same DASD(MS) request suggested we also review the development and milestone accomplishment of certain high visibility AISS. The OSD is responsible for milestone approval of 6 major AISS, one of which is the DoD Standard Automated Warehouse and Shipping Procedures (DWASP). Further, the Defense Logistics Agency is responsible for the development of this AIS and is the audit responsibility of DAS. Hence, a valuable audit service can be provided at several levels of Defense management, and we will be making progress towards our audit goal of effective ADP systems development audits as required by recent OMB and GAO guidance.

Objective

The general objective of the review will be to evaluate the effectiveness of DoD life-cycle management policies and procedures in the development of the DWASP system.

Location

OSD staff offices; Defense Logistics Agency; Military Department Headquarters; and selected field activities.

Program Data

Division/Line Number	FM/19
Program Director	R. Ryan
Project Manager	M. Huston
Start Date	12/80
Man-Days	500

REVIEW OF DIGITAL COMPUTERS USED IN
BATTLEFIELD SYSTEMS

Background

DoD has become increasingly dependent on automation in the accomplishment of its mission. Many of the computers used by DoD are embedded directly in various military equipments and are specially configured and constructed to operate in a military environment. One of the fastest growing areas of military computers has been battlefield systems. DoD's investment in such special purpose computers is projected to increase over 200 percent during the 1979-1984 time frame. Prior DAS computer audits have been limited to general purpose computers. We plan to initiate a series of reviews in the area of special purpose military computers.

Objectives and Scope

The initial review of special purpose military computers would include a review of the development and operations of digital computers used in battlefield systems. The rapidly increasing use of computers in battlefield systems and their critical necessity to the successful operations of major weapon systems requires that DAS initiate audits in this area.

Program Data

Division/Line Number	FM/20
Program Director	R. Ryan
Project Manager	A. Duncan
Start Date	1/81
Man-Days	750

REVIEW OF CHAMPUS HIGH DOLLAR PROVIDERS AND BENEFICIARIES

Background

For FY 1980, CHAMPUS benefit costs are estimated to be \$731 million. It is anticipated within the next few years, the annual costs will exceed \$1 billion. Under CHAMPUS, medical claims are processed and paid by fiscal intermediaries who are under contract with the Office of the Civilian Health and Medical Program of the Uniformed Services (OCHAMPUS). As of March 1, 1980, OCHAMPUS had contracts with 9 fiscal intermediaries to process and pay CHAMPUS claims. While OCHAMPUS has a program to monitor the processing of medical claims, this program is limited in scope and frequency of review. Past audits have shown that CHAMPUS is vulnerable to fictitious claims submitted by both providers of care and beneficiaries. A review of claims submitted by high dollar providers and beneficiaries should identify potential program abuses.

Scope

The audit should consist of examination of claims submitted by the top 30 or so providers and the top 100 beneficiaries. Detailed audit work should be performed at 3 fiscal intermediaries.

Tentative Locations

OCHAMPUS-Denver, Colorado; Mutual of Omaha-Omaha, Nebraska; Blue Shield of California-San Diego, California; and Blue Cross of Washington and Alaska-Seattle, Washington.

Program Data

Division/Line Number	FM/21
Program Director	W. Schade
Project Manager	D. Stoker
Start Date	1/81
Man-Days	550

MUNITIONS PROGRAM - EUROPE

Background

For a number of years the Army and the Air Force requirements for munitions have greatly exceeded on-hand inventories and financed procurements. There is an indication that current requirements have not been adjusted to take into consideration the short-war, high intensity conflict that may occur if the Warsaw Pact should attack NATO. Additionally, the Army, to increase fire power, has authorized additional 8" howitzers for the 8" battalions located in Europe.

In addition to "suspect" requirements, previous audit reviews made by DAS have disclosed problems with basic loads, forward ammunition supply points, lack of trucking companies to haul ammunition and vulnerability of storage locations to enemy attack, including sabotage. The Air Force, in addition to a known shortage of air-to-air missiles, is also short munitions needed for close air support and interdiction.

Objective

The primary objectives of the review will be to evaluate the reasonableness of projected requirements; determine adequacy as well as survivability of storage facilities; analyze the impact of loss of munitions to enemy action in the conflict; and the capability of the Army and Air Force to resupply forward deployed units.

Scope

The munitions program is a multi-billion dollar program that has a direct bearing on the outcome of a conflict with the Warsaw Pact.

Location

OSD Staff Offices; Service Headquarters; Hqs. EUCOM, USAREUR, USAFE, and selected activities; and Army and Air Force units in Europe.

Program Data

Division/Line Number	FM/22
Program Director	E. Shirley
Project Manager	J. Gillis
Start Date	1/81
Man-Days	600

Security Assistance Program - Saudi Arabia and Egypt

Background

DoD Directive 5105.48 tasks the Defense Audit Service with the responsibility to perform audits of the SAP at all levels of management. Saudi Arabia continues to be the largest FMS customer. Egypt is both an FMS customer and the recipient of various forms of grants and credits. The Egyptian program is growing rapidly. Our last audit effort in Saudi Arabia was the requested review of the Corps of Engineers operations, Report No. 833, November 14, 1977. There has been no prior audit work in Egypt.

Objectives

The objectives of the review will be to evaluate the administration of U.S. responsibilities for the Security Assistance Program. We will determine if all costs incurred in support of the Security Assistance Programs for Saudi Arabia and Egypt were funded in accordance with current legislation. We will also evaluate allowances, emoluments and other support provided by the host countries.

Scope

Undelivered FMS orders were about \$15.2 billion for Saudi Arabia and \$200 million for Egypt. Egypt also is negotiating for grants in excess of \$1 billion. There are about 1,500 U.S. personnel in Saudi Arabia and 150 in Egypt.

Tentative Locations

U.S. Military Training Mission to Saudi Arabia, Dhahran, Saudi Arabia
U.S. Army Corps of Engineers, Middle East Division, Riyadh, Saudi Arabia
U.S. Army Project Managers Office to the Saudi Arabian National Guard, Riyadh, Saudi Arabia
Detachment 22, U.S. Air Force Logistics Command, Dhahran, Saudi Arabia
Office of Military Cooperation, Cairo, Egypt
Defense Security Assistance Agency, Washington, DC
Office of the Deputy Chief of Staff for Logistics, Department of the Army, Washington, DC
Office of the Assistant Secretary of the Navy (Manpower, Reserve Affairs and Logistics), Washington, DC
Office of the Deputy Chief of Staff, Program and Evaluation, Department of the Air Force, Washington DC
U.S. Army Materiel Development and Readiness Command, Washington, DC
Security Assistance Accounting Center, Denver, CO
Air Force Logistics Command, Wright-Patterson AFB, OH
Air Logistics Center, San Antonio, TX
Other ICPs as determined during the audit

PROGRAM DATA

Division/Line Number
Program Director
Project Manager
Start Date
Man-Days

FM/23
R. Townley
D. Steensma
3/81
600

SPECIAL PROGRAMS

AUDITS

Systems Reliability Program - Air Force

Background

The DoD Systems Reliability (SR) Program is a generic term used to describe a basic management process involved in overall acquisition planning under DoD Instruction 5000.2. The SR Program includes the various reporting systems established to obtain feedback information on weapons systems performance and the uses made of the information by acquisition managers to upgrade, modernize, and replace fielded weapons systems as may be necessary. The DoD Consolidated Guidance FY 1980-FY 1984 envisions a continuous flow of information from the weapons systems operators to acquisition managers to enhance the materiel readiness of the military forces. The materiel readiness of the military forces is of vital concern to all oversight groups including the OSD/OJCS, the Defense Acquisition Committee, the Congress, and OMB.

Generally, the SR Program leads to the development of weapons systems acquisition and modification programs and the identification of operational requirements. Further, the SR Program provides a basis for assessing the effectiveness of the test and evaluation process, and the reliability and maintainability standards included in the design package; the basic materiel readiness control features available to acquisition managers. Systems reliability feedback information is also important to manpower and logistics planners.

With respect to materiel readiness, the Secretary of Defense in his annual report to Congress, Fiscal Year 1981 stated:

Past Defense Reports have emphasized unreliable and hard-to-support equipment designs as a major, and often the principal, contributor to less-than-desirable weapon system performance in the field. An important means of improving the peacetime materiel readiness of our existing forces is by means of reliability and maintainability (R&M) modifications to weapon systems and equipment. All Services are pursuing R&M modification programs for correcting unsatisfactory aircraft designs.

Scope

About \$10 billion is programmed in the FY 1981-FY 1985 FYDP for modification of Air Force weapons systems as follows:

FISCAL YEARPROGRAM

1981	\$ 2.1
1982	2.0
1983	1.8
1984	2.1
1985	<u>2.0</u>

Total \$10.0

Objectives

To evaluate the implementation of the SR Program, and DoD Instruction 5000.2 and CMS Circular A-109 criteria related to selected deployed Air Force weapon systems; the flow of funds planned in the FYDP-1981 for modifications; and the effectiveness of basic materiel readiness control features available to acquisition managers.

Potential Benefits

Identify opportunities to upgrade the materiel readiness of fielded weapon systems through improved acquisition planning and any potential for increasing the effectiveness and economy of the Air Force modification FY 1981-FY 1985 programs.

PROGRAM DATA

Division/Line Number	SP/10
Program Director	C. Inglis
Project Manager	T.B.D.
Start Date	10/80
Man-Days	660

REVIEW OF MISSION ELEMENT NEED -
ADVANCED TACTICAL AIRCRAFT

Background

Two advanced tactical fighter aircraft systems are being developed by the Services - the Navy F-18 aircraft had estimated acquisition costs of \$29 billion as of December 1979 while the Air Force F-16 was estimated at \$18.5 billion as of that date. The F-18 and the F-16 are secondary tactical fighter systems that are designed to complement the primary F-14 system in the Navy and F-15 in the Air Force.

The F-18 is a twin-jet, strike-fighter intended for use aboard aircraft carriers or on shore. It would provide fighter escort for fleet defense as well as attack enemy sea or ground forces. Current estimates call for 1,377 F-18s to be built. It is designed to replace the Navy's aging fleet of F-4s, A-4s, and A-7 aircraft. Many problems have been experienced with this system.

The F-16 is a single-engine, lightweight aircraft designed for air-to-air combat and delivery of air-to-surface weapons, and will replace F-4s in the active Air Force inventory. A total of 1,388 aircraft are scheduled for procurement with 605 programmed for delivery through FY 1981, and 783 scheduled through the end of the 1980s.

The adequacy of the Mission Element Needs Statement (MENS) process and adherence to OMB Circular A-109 is critical to the success of recent Secretary of Defense guidance. In his annual report FY 1981, the Secretary stated that "another" important initiative in our effort to improve the management of major system acquisitions is the introduction of affordability as a regular consideration in the MENS/DSARC process. The affordability policy is intended to strengthen the linkage between the PPBS and the DSARC and to provide stable funding to critically important programs.

Scope

As of December 31, 1979, SAR total acquisition costs for the F-18 and F-16 programs amount to \$47.6 billion. FYDP funding for the 2 programs is as follows:

	<u>FY 80</u> <u>& Prior</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FY 83</u>	<u>FY 84</u>	<u>FY 85</u>
<u>F-18</u>						
Dollars (Millions)	\$1,691	\$1,619	\$2,437	\$2,915	\$3,073	\$3,480
Quantity	34	48	96	147	174	191

<u>F-16</u>						
Dollars (Millions)	\$4,830	\$1,877	\$1,507	\$1,705	\$1,627	\$1,661
Quantity	425	180	120	120	120	120

Objectives

To perform program evaluations of the F-18 and F-16 plans in accordance with OMB Circular A-109 and DoD Regulations 5000.1, 5000.2 and 5000.3 to determine that the most affordable alternatives have been selected to meet the enemy threats of the 1980s and 1990s.

Potential Benefits

To provide independent evaluation of the acquisition management process for 2 major weapon systems that are programed at \$48 billion for OSD oversight and DSARC officials.

Program Data

Division/Line Number - SP/11
 Program Director - H. Bloom
 Project Manager - J. Woolsey
 Start Date - 10/80
 Man-Days - 660

INTEGRATED LOGISTIC SUPPORT PLANNING
FOR ARMY UH-60A HELICOPTER

Background

DoD Directive 5000.39 established policy and responsibilities for integrated logistic support (ILS), including manpower planning, as an inherent part of major system acquisitions. ILS planning is concerned with the definition, optimization, and integration achieved by systematic planning, implementation and management of logistic support resources throughout the system life-cycle.

The Army UH-60A (Black Hawk) helicopter has a projected total program cost of over \$5.8 billion. The Black Hawk helicopter was selected by the Navy as part of the LAMPS MK III system covered in our first ILS review under Project OAP-089.

The GAO is concerned that the Black Hawk helicopter will not be ready when Navy ships are prepared to install the LAMPS MK III system. Further, since the Navy has decided to buy additional LAMPS MK I systems, the GAO questions whether new ships being bought are capable of handling the LAMPS MK III system when they may have been designed to handle the smaller LAMPS MK I. Audit work will be done at project offices, buying activities and contractor plants.

Scope

The review will cover Army ILS planning for the UH-60A helicopter in accordance with the ILSP criteria set forth in DoD Directive 5000.39. The Army UH-60A helicopter weapon system is in the production phase of the major system acquisition process. The Selected Acquisition Report as of March 31, 1980, indicates the following cost data (millions):

<u>Funding</u>	<u>Current & Prior Yrs</u>	<u>Budget Year</u>	<u>FYDP</u>	<u>Balance to Complete</u>	
				<u>Beyond FYDP</u>	<u>Total</u>
Development	\$ 481.3	-	-	-	\$ 481.3
Procurement	<u>1,151.5</u>	<u>\$338.6</u>	<u>\$1,002.5</u>	<u>\$2,913.8</u>	<u>5,406.4</u>
Total	<u>\$1,632.8</u>	<u>\$338.6</u>	<u>\$1,002.5</u>	<u>\$2,913.8</u>	<u>\$5,987.7</u>

Prime contractors involved include the General Electric Company, Lynn, MA (engine) and Sikorsky Aircraft, Stratford, CT (airframe).

Objectives

Our objectives will be to evaluate both the ILS planning for the Black Hawk and the integration of the Black Hawk into Navy LAMPS MK III system. We will also review the sufficiency of the ILS planning process and related policy guidance.

Potential Benefits

To provide an independent evaluation for OSD oversight policy and decisionmakers of Army ILS planning that involves both Army and Navy weapon systems and related acquisition strategies.

Program Data

Division/Line Number	- SP/12
Program Director	- T. Leahy
Project Manager	- K. Malecki
Start Date	- 10/80
Man-Days	- 660

Medical Research Program

Background

Medical research in DoD involves continuous projects concerning diverse medical topics. FYDP element descriptions of research topics are general in nature and appear to routinely continue the efforts. In view of the stated increasing need for research dollars, the question arises as to whether consideration has been given to the priority of need to continue certain projects. Some of the typical medical topics addressed are:

- Biomedical technology
- Cardiovascular disease prevention
- Drug and vaccine development
- Pollution abatement
- Tropical medicine
- Infectious disease investigations
- Military disease hazards
- Military psychiatry

Scope

Each of the Services are engaged in various research projects. FY 1980 and FY 1981 funding was projected at \$96 and \$116 million respectively.

Objectives

To determine:

1. If there exists overall management and control over medical research projects.
2. If total expenditures for medical research projects are proportionate in relation to other research projects.

Potential Benefits

The audit could identify potential projects which should be discontinued due to duplication of effort or lower priority of need.

PROGRAM DATA

Division/Line Number	SP/13
Program Director	L. Fong
Project Manager	H. Murakami
Start Date	10/80
Man-Days	660

REVIEW OF MISSION ELEMENT
NEED - ANTISUBMARINE WARFARE

Background

Antisubmarine warfare (ASW) involves the surveillance, detection, classification, localization and attack of enemy submarines. Current ASW efforts include attack submarines, patrol aircraft, acoustic detection devices, helicopters, torpedoes and mines. The more significant ASW programs are limited under scope.

The adequacy of the Mission Element Needs Statement (MENS) process and adherence to OMB Circular A-109 is critical to the success of recent Secretary of Defense guidance. In his annual report FY 1981, the Secretary of Defense stated that "another important initiative in our effort to improve the management of major systems acquisition is the introduction of affordability as a regular consideration in the MENS/DSARC process. The affordability policy is intended to strengthen the linkage between the PPBC and the DSARC and to provide stable funding to critically important programs."

Scope

As of December 31, 1979, the SAR program acquisition cost summary included the following ASW systems.

- The P-3C patrol aircraft \$5.9 billion.
- The LAMPS MK III helicopter/ship system \$5.3 billion.
- The TACTAS sonar system \$1.1 billion.
- The SURTASS sensor system \$.6 billion.
- Attack submarine SSN-688 \$17.1 billion.

Objectives

To perform program evaluations of selected ASW systems acquisition plans under the criteria set forth in OMB Circular A-109 and DoD Regulations 5000.1, 5000.2, and 5000.3 to determine that the most affordable alternatives are being considered to meet the threat of the 1980s and 1990s.

Potential Benefits

To provide independent evaluations of the acquisition management process that impacts on multibillion procurement decisions for OSD oversight and DSARC officials.

Program Data

Division/Line Number - SP/14
Program Director - H. Bloom
Project Manager - J. Ottke
Start Date - 11/8
Man-Days - 660

Review of the Affirmative Actions
Program 9 Personnel Administration

Background

Chapter XIV Subpart B of Title 29 of the Code of Federal Regulations states that it is the policy of the Government of the United States to provide equal opportunity in employment for all persons, to prohibit discrimination in employment because of race, color, religion, sex, or national origin, and to promote the full realization of equal employment opportunity through a continuing affirmative program in each agency.

Scope

Approximately \$250 million is identified in the budget as personnel administration costs. The portion of the total costs that can be identified as the direct cost of affirmative actions towards implementation of an equal employment opportunity program will be developed during the survey.

Tentative Locations

Visit sites will be randomly selected from the 627 DoD personnel offices that are located worldwide.

Potential Benefits

To report:

1. Whether or not sufficient resources have been committed to assure a positive and effective affirmative action program.
2. Whether or not a performance measurement program relating costs to benefits has been established and used to assure the implementation of equal employment opportunity in an efficient manner.

PROGRAM DATA

Division/Line Number	SP/15
Program Director	A. Eckstein
Project Manager	R. Coffey
Start Date	10/80
Man-Days	660

Active Reserve and National Guard-Payroll Controls

Background

Reviews of Active Reserve (9AO-123) and National Guard (0AO-053) have shown that members were paid that did not attend drills and that members were paid that were not on the roster. These conditions were coordinated with the Defense Investigative Service for further investigation. Audit techniques included unannounced visits to the Reserve and Guard units, auditor control of the roster and attendance and subsequent follow up at the Finance Offices to determine who was paid for the drills.

The results of the prior 2 projects indicate that there is merit in performing an additional review of the Reserve/Guard payroll controls. This review would employ audit techniques geared to obtaining a simultaneous check of the computer generated payroll with the unit rosters with subsequent follow up and analysis of historical payment data.

Scope

Active Reserves and National Guard-Number of units and extent of review would be contingent upon available resources. Since this review, in addition to testing payroll controls, would be fraud oriented, it would not be advisable to break the project into phases for Reserve and Guard. FY 1981 payroll is \$2.7 million for more than 800,000 members.

Objective

Objectives will include: (1) evaluate controls at the Finance Centers to preclude issuance of checks to fictitious personnel and subsequent cashing of checks and computer manipulation by Finance Center personnel, (2) evaluate intermediate level controls, and (3) evaluate unit level controls and detect "payroll padding." Objectives to be coordinated and discussed with Defense Investigative Service.

PROGRAM DATA

Division/Line Number	SP/16
Program Director	A. Eckstein
Project Manager	E. Richards
Start Date	12/80
Man-Days	660

Operational Test & Evaluation Program - Air Force

Background

Congressional concern with DoD acquisition practices for major weapon systems provides the justification for this effort. OMB Circular A-109 was issued to strengthen the process.

The program is monitored by the Director (T&E) within the Office of the USDR&E. The testing is provided by the developing command, by an independent operational test agency, and by the user. An assessment of the Air Force OT&E efforts is provided by the Defense Director (T&E) to the DSARC Committee at critical acquisition decision points.

Recent audits by GAO and DAS have disclosed problems in the DoD acquisition process, more specifically in the development, testing and evaluation of systems being approved for production and Service use.

Scope

The FYDP submission for Fiscal Year 1981 projects an acquisition program procurement investment for the Air Force of about \$229 billion. The Air Force Test and Evaluation support (PE 65 807F) effort provides for about \$300 million in FY 1981 and rises in increments to over \$400 million in FY 1985, as follows:

AF T&E PROGRAM

Source: FYDP RDT&E Annex, FY81 Submit dated 9-23-79

PE 65 807F - Test & Evaluation (TOA in millions)

<u>FISCAL YEAR</u>	<u>PROGRAM</u>
1981	\$ 308.3
1982	331.6
1983	359.9
1984	384.9
1985	407.4

Objectives

To evaluate the implementation of DoD Instruction 5080.2 concerning operational test and evaluation as a basic control in the acquisition management process, the effectiveness of OT&E in the acquisition of selected weapon systems, and the efficiency and economy of the Air Force OT&E FY 1981-FY 1985 programs.

Potential Benefits

Improve the materiel readiness of deployed weapon systems through more effective OT&E.

PROGRAM DATA

Division/Line Number	SP/17---
Program Director	C. Inglisa
Project Manager	T.B.D.
Start Date	1/81
Man-Days	660

Developmental Research - Air Force
Tactical Systems Other Than Missiles

Background

DoDD 5000.1 and DoDI 5000.2 implement the established policies of OMB Circular A-109 for the acquisition of major systems. Acquisition strategy developed at the beginning of new programs generally encompass the entire acquisition process. The strategy developed should provide sufficient detail and planning to permit competitive exploration, and, have a direct influence on competition and design efforts by contractors. A key feature involves the establishment of adequate reliability design and procurement package.

Scope

RDT&E funds planned for Research and Development of Tactical Systems other than Missiles in FY 1981 and FY 1982 total \$1.1 billion and \$1.0 billion respectively. We will select systems which are in various stages of development for our review.

Objective

The objective of the audit will be to determine the adequacy of the acquisition strategy developed for the selected systems and to identify problems or constraints related to its development. It will also include an evaluation of the establishment and implementation of R&D goals and thresholds.

Potential Benefits

Audit results will contribute towards our overall evaluation of the acquisition process relative to the policies established by OMB Circular A-109.

PROGRAM DATA

Division/Line Number
Program Director
Project Manager
Start Date
Man-Days

SP/18
L. Fong
Mazurik
2/81
650

Selected Acquisition Reports Phase I - Army

Background

The General Accounting Office, in a recent (May 9, 1980) report, recommended that the Secretary of Defense direct ". . .an independent periodic review be made of the accuracy and completeness of SARs. . . ." The rationale behind this recommendation was that there was a reluctance to include data which ". . .detracts from an optimistic presentation of system capabilities, . . .progress and status." GAO stated, however, that it was precisely this kind of data that the Congress needed to review and fund programs.

SARs are the main source of information disclosing the plans, programs, status and problems concerning the acquisition of major weapons. As of December 31, 1979, SARs covered more than 50 weapon systems with a projected total cost of \$135 billion as shown on the attachment. About one-half of the acquisition programs are in the critical development stage when the SAR information is vital to the decisionmakers concerning whether or not to approve full-scale production.

Scope

SARs would be selected for review based upon proximity of DSARC milestones, the significance of the system, and information obtained from other systems acquisition reviews. Phase I will cover an Army SAR. The review would be accomplished at the Program Manager's office with visits to contractors' plants, test sites, and user activities, as appropriate.

Objectives

The primary objective of the audit would be to determine that the SAR provides full and objective disclosure of the status of the acquisition program in accordance with DoD Instruction 7000.3 and that any critical problems are reported. The secondary objectives would be to determine whether additional guidance, controls or support are needed to aid Program Managers to make full and complete disclosures in all their reports.

Potential Benefits

The potential benefits from weapon systems acquisition reviews and the related SARs are to improve the quality of management and the decisionmaking process on multibillion dollar acquisition plans.

PROGRAM DATA

Division/Line Number	SP/19
Program Director	T.M. Leahy
Project Manager	R.H. Pickard
Start Date	3/81
Man-Days	660

Background

This review will evaluate the validity of requirements for allocating procurement funds to acquire selected tracked vehicles for the Army and Marine Corps. Questions have been raised concerning these various weapons systems as to whether DSARC procedures and milestones specified in DoD Regulations 5000.1 and 5000.2 have been successfully met to justify acquisition plans and procurement funding. The adequacy of the Mission Element Needs Statement (MENS) process and adherence to OMB Circular A-109 will also be evaluated. According to recent Secretary of Defense guidance, an important initiative to "improve the management of major system acquisitions is the introduction of affordability as a regular consideration in the MENS/DSARC process. The affordability policy is intended to strengthen the linkage between the PPBS and the DSARC and to provide more stable funding to critically important programs."

Scope

Modernization of the Army tracked vehicle program has taken the form of development and procurement of the XM-1 tank, the Infantry Fighting Vehicle (IFV) and the Cavalry Fighting Vehicle (CFV). Planned development and procurement funding through FY 1982 is estimated at about \$3.3 billion for 1,750 XM-1 tanks and \$1.4 billion for 1,100 IFV/CFV units. Substantial additional costs are planned for the outyears.

As of January 1980, the FYDP breakout of the Army's tanks and infantry fighting vehicle systems are as follows:

	<u>FY 80</u> <u>& Prior</u>	<u>FY 81</u>	<u>FY 82</u>	<u>FY 83</u>	<u>FY 84</u>	<u>FY 85</u>
<u>KM-1</u>						
Dollars (Millions)	\$ 1,100	\$1,007	\$1,003	\$ 990	\$1,580	\$1,581
Quantity	462	569	720	720	802	1,080
<u>Infantry Fighting Vehicle</u>						
Dollars (Millions)	\$ 265	\$ 464	\$ 542	\$ 592	\$ 809	\$ 860
Quantity	100	400	600	617	1,006	1,000

Objectives

To evaluate the implementation of OMB Circular A-109, the MENS process and DoD Regulations 5000.1 and 5000.2, in determining the propriety of allocating procurement funds for the acquisition of selected tracked vehicles. To determine if threat assessment and proper trade-off analyses have been accomplished in computing system requirements.

Potential Benefits

Recommendation of proper adherence to Secretary of Defense guidance on affordability and linkage of PPBS and DSARC management.
Determination as to the adequacy of the requirements validation process and the qualitative and quantitative vehicles planned for acquisition.

Program Data

Division/Line Number	SP/20
Program Director	H. Bloom
Project Manager	J. Woolsey
Start Date	3/81
Man-Days	660

S Y S T E M S A N D L O G I S T I C S

A U D I T S

Integrated Management of Non-Consumables

Background

DoD is in the advanced stages of consolidating management of individual non-consumable stock-numbered items that have multi-service application (annual Report of Secretary of Defense FY 1981, page 259). This process is an initiative of the Joint Logistics Commanders. The lead service for the program is the Navy.

The result of this process is the assignment of each item to a Primary Inventory Control Activity (PICA) in one Service. Each of the other Services which uses the item will designate a Secondary Inventory Control Activity (SICA) for the item.

Because each Service must fund for procurement of its own quantities of these non-consumable (appropriation-funded) items, the using Service may not be anxious to make its long supply assets available to another Service. We found indications, in our audit of retail stock excesses (SSS-070), that excess materiel reported by using activities to their respective SICA's, and which was excess to the requirements of the SICA, was not being reported to the PICA for DoD-wide visibility against requirements.

Scope

The subject is DoD-wide in scope, involving the four military services.

Objectives

Our general objective would be to identify problems associated with the recent integration of management of non-consumable items. Going in, we would have the specific objective of determining if excess assets of non-consumable assets are being adequately distributed DoD-wide based on visibility to, and control by, the PICA.

Potential Benefits

The audit could provide improved utilization within DoD of available stocks of relatively high dollar value non-consumable items (which may often also be critical to end item application and have a long procurement lead time). This may be achieved through identifying need for better procedures and more effective incentives, including more appropriate funding arrangements.

Areas of Emphasis

This project is not specifically in one of the areas of current audit emphasis. Like most DAS audits, it could identify some waste (of available assets) (area c), and could, by improving procedures to identify assets needed by other services, improve force readiness (area d).

PROGRAM DATA

Division/Line Number	SY/15
Program Director	E. Jones
Project Manager	J. Gebka
Start Date	10/80
Man-Days	450

Retail Stockage Criteria

Background

Two recent projects, 9SS-142 and OSS-070, have examined the identification, reporting, and disposition of excess stocks being held at the retail levels of supply. In the course of these reviews we have observed that stockage levels at retail activities are developed using a wide variety of criteria, frequently without appropriate regard for other levels held within the supply chain, and on occasion without regard to the mission of the activity.

The proposed audit would be a "requirement" type audit which would consider not only the activity itself but related supply activities above or below it, or geographically close by.

DoD has developed a rather extensive supply policy for its retail activities through a program known as RIMSTOP (Retail Inventory Management and Stockage Policy). After exhaustive study of the military supply systems, DoD policies were published and are currently being implemented by the military services.

It seems appropriate now that we review the implementation of these policies to see if the desired results will be achieved, or if further guidance is deemed advisable.

The audit project would examine selected military retail supply activities, giving consideration to (a) their mission (b) their deployability (c) their place in the supply system and relationship to other supply activities, and (d) their geographical location in proximity to other supply activities.

Factors to be considered would be:

- actual order-ship time,
- actual demand for the sampled item,
- risk to mission of being "out-of-stock",
- the mission priority of the unit,
- capability to realistically move stock being held internally for deployment,
- availability of the item from a nearby source (military or commercial),
- possible duplication of safety levels between supplying activity and supplied activity,

- visibility and control of stock by wholesale manager (if stock is readily accessible for higher priority requirement, its physical or organizational location is not as critical), and

- physical availability for redistribution (stock on a ship at sea is not as available as that at a CONUS Air Force base).

Scope

The project is scheduled for survey only, primarily in Army, Navy and Air Force, the predominate users of material. Although some of the retail stockage information has been obtained in the two previous audits (9SS-142 and OSS-070), those audits have not afforded an opportunity for detailed examination of the rather sophisticated stockage criteria policies involved. Careful study of these policies in light of the factors listed above, and preliminary examination of their implementation, are necessary to determining the usefulness of audits and, if appropriate, development of an audit plan.

Objective

1. To determine if retail stockage criteria within representative supply chains are balanced and logical, to provide adequate but not excessive support to the users.
2. To determine whether the criteria between the services are reasonably balanced, considering relative national defense priorities of the supported units, to provide balanced claim on inventory and supply funds.

Potential Benefits

1. Possible revision of DoD policy to provide different or more specific guidance on retail stockage, to better meet mission readiness needs without avoidable overstockage.
2. Possible revision of the guidance within one or more of the military services toward the same purposes as (1) above.

PROGRAM DATA

Division/Line Number	SY/16
Program Director	E. Jones
Project Manager	J. Gebka
Start Date	3/81
Man-Days	540

Inventory Control

Background

This project has been planned previously (page 12, line 20 of 3rd/4th Qtr 1980 Audit Plan). However, it is necessary to provide additional information to explain its current status in the plan.

The subject matter is of interest to HAC (Hearings in May 1979) and to MRA&L (expressed verbally to DAS Staff). However, in the judgement of the audit staff, the planned project "Technical Data for Items of Supply," now scheduled to start in June 1980, may be of greater benefit. The Inventory Control project has thus been slipped to December, assuming that our survey of Technical Data will result in an audit.

HAC continues to express concern about "ripping off the supply system" about value of reported inventory adjustments, and about the nature of reported supply losses. There is a significant trend in the Army and Navy, and a smaller trend in the Air Force, from net inventory gains in FY 1976 to net losses in FY 1978.

We have information on a high rate of losses intransit which are unreported. MRA&L is concerned that additional inventory losses are occurring which are hidden by being misrepresented as "accounting adjustments." We also have indications of losses being recorded as "negative gains" to reduce the reported gross adjustment rate.

As a result of recent trends, DoD posted \$922 million in inventory losses and \$811 million in inventory gains in FY 1978. (as shown below).

These statistics show the value of inventory gains and losses for items inventoried under the Physical Inventory Control for DoD Supply System Materiel procedures.

\$ Value of Gains	1976	1977	1978
DLA	148,000,000	98,700,000	93,000,000
Army	500,100,000	443,900,000	523,900,000
Navy	80,400,000	79,600,000	84,700,000
Air Force	110,100,000	100,300,000	90,500,000
Marine Corps	1,000,000	5,600,000	19,100,000
Total DoD	<u>839,600,000</u>	<u>728,100,000</u>	<u>811,200,000</u>

\$ Value of Losses	1976	1977	1978
DLA	139,700,000	92,700,000	81,300,000
Army	499,300,000	562,900,000	589,900,000
Navy	97,600,000	123,100,000	144,500,000
Air Force	87,900,000	90,200,000	92,600,000
Marine Corps	2,400,000	6,500,000	13,900,000
Total DoD	<u>826,900,000</u>	<u>875,400,000</u>	<u>922,200,000</u>

Scope

This survey, and probably the audit to follow, would encompass Army, Navy, Air Force, DLA, and probably Marine Corps wholesale stocks. Although some survey work has been completed on this subject (Project 8SS-151) that work will be 2 years old by the time this proposed project is scheduled to start. Also, some of the potential problems now identified were not considered then. Therefore, it is necessary to do further survey to update the survey data, make preliminary review of the potential problem areas and develop an audit plan before beginning a detailed audit of this subject.

Potential Benefits

1. If substantial unrecorded losses in transit are found, this information could provide the basis for selective better controls which would reduce losses.

2. Possible improvement in the accuracy and reliability of reported inventory adjustment data and in the management information and review processes which could lead to more appropriate selective controls over inventories.

PROGRAM DATA

Division/Line Number	SY/17
Program Director	E. Jones
Project Manager	J. Helfrich
Start Date	2/81
Man-Days (Survey)	500

Productivity Measurement in RPMA's

Background

The DoD real property investment in terms of acquisition cost is valued at more than \$48 billion and the replacement cost is many times that. The real property maintenance costs were \$1,906 and \$2,153 million for 1978 and 1979 respectively. The estimated cost for 1980 and 1981 are \$2,003 and \$2,608 million respectively.

Much of the RPMA work is performed by in-house personnel. The RPMA function is labor intensive and the productivity of the people materially affects operational cost. Several years ago, GAO issued a report showing that increased efficiencies can be obtained in RPMA through the adoption and use of engineered performance standards. The Navy was asked to develop, under joint DoD funding, standards to be used by all military services. In 1978, the HAC added \$500,000 and 14 positions to the Navy budget for this program.

During a recent visit to the San Antonio Real Property Maintenance Activity (SARPMA), I discussed the productivity measurement system with the SARPMA Commander. He indicated that his overtime costs were very high and complained that he was unable to analyze productivity to determine the causes. He agreed that a review of the use of engineered standards in RPMA functions would be a worthwhile effort to be undertaken by DAS. As part of this audit, we will include DLA Request #80-III-W-18

Scope

The audit will include productivity measurement systems for RPMA operations of all services and DLA. The audit will include an expanded review of job order processing at the Defense Depot, Ogden, Utah.

Objectives

We plan to evaluate the status and the effectiveness of the engineered performance measurement system for RPMA operations. As part of our review, we will determine if the actual time taken to perform a task is compared to the standards and reasons for deviations identified and analyzed. If we find that the standards are not being used in this manner, we intend to compare actual time to the standards and to analyze major differences. The audit at the Defense Depot Ogden, Utah will be expanded to include job order processing procedure to include estimating, scheduling, supply control, cost control, evaluation and record maintenance.

Potential Benefits of the Audit

The results of the audit should give us an indication of RPMA personnel productivity and staffing requirements. It will also provide the internal audit service requested by DLA.

PROGRAM DATA

Division/Line Number	SY/18
Program Director	R. DeCarli
Program Manager	L. Weintrob
Start Date	11/80
Man-Days	750

Defense Retail Interservice Support (DRIS) Program

Background

DoD policies provide that the Services and Defense agencies should rely upon each other for common support. These policies were intended to reduce the extent to which organizations in the same geographic area performed redundant functions. To accomplish this end, DoD established the Defense Retail Interservice Support (DRIS) program. DLA has been assigned as the program manager. DRIS has been in effect for at least 5 years. Prior to the organization of DAS, the DLA Auditor General organization issued a report critical of DRIS. Subsequently, DAS issued a report suggesting improvements to the program. Since these reports, the DRIS program has seen substantial changes. The most drastic change was the establishment of Joint Interservice Resource Study Groups (JIRSGs). The JIRSGs were formed where there were 10 or more DoD organizations in a 50-mile radius. Their purpose is to study common functions and obtain greater interservice support. To date, the JIRSGs have completed 100 studies and have 1300 more planned through 1982. The accomplishments of the JIRSGs have not been good. The 100 studies resulted in no increased interservicing. Service parochial interests and differences in operating procedures were cited by the DRIS program manager for the lack of accomplishments. Furthermore, many of the JIRSGs appear to be giving the DRIS program only "lip service." The GAO is now reviewing interservice support as part of its audit titled "Reducing Base Operating Support Costs." GAO has not reviewed the JIRSGs, the DRIS studies or their accomplishments. GAO appears to be headed toward writing a report stating that DLA does not have the clout necessary to force interservicing actions.

Scope

The dollar value and the number of personnel who should be involved in interservicing cannot be determined.

Objective

The audit will include an evaluation of DRIS program management by DLA, the effectiveness of the JIRSG concept and the reasons why interservicing is not increasing. As part of the review, we will identify stated procedural differences which prevent interservicing and will either examine these differences or schedule additional reviews to determine the validity of the differences.

Potential Results of the Audit

- Evaluation of JIRSG process before 1300 more studies are performed.

- Identification and analysis of procedural differences which prevent interservicing.

- Highlight activities which are not pursuing interservicing for parochial reasons. -----

PROGRAM DATA

Division/Line Number	SY/19
Program Director	R. DeCarli
Project Manager	T.B.D.
Start Date	11/80
Man-Days	650

ADEQUACY OF MILITARY FAMILY HOUSING

Improving the quality of life for military personnel is one of DoD's high priority programs. The quality of family housing units impacts directly upon this program. DoD currently has in its housing inventory 20,000 units that are rated inadequate. Most of the inadequate quarters are occupied and the personnel forfeit part of their quarters allowance (about 90 percent) to live in the inadequate units. DoD has a program to schedule the inadequate housing for replacement, upgrade, or disposal at the end of its economic life. There are also congressional constraints on the number of inadequate housing units that can be held in the inventory. These constraints may be counterproductive in the sense that housing units that should be classified as inadequate may not be so classified and the living conditions of occupants forfeiting their entire quarters allowance may be poor.

Scope

We plan to evaluate DoD's management of the inadequate housing inventory and examine the physical conditions of the adequate housing units occupied by lower grade military personnel.

Objectives

We plan to review:

- the conditions of the units designated inadequate and the plans for the units;
- the actions taken by the installations to upgrade inadequate units and problems encountered;
- the cost of operating the substandard units;
- the possibility that the units were classified as substandard to justify new construction;
- existing expenditure restrictions on inadequate housing to determine if they are prudent;
- the physical condition of adequate units occupied by military personnel (particularly low graded enlisted) to determine whether they should be classified as inadequate;
- the reasonableness of BAQ forfeiture rates for persons living in inadequate quarters.

Potential Benefit of the Audit

The audit will provide an overall assessment of DoD's management of quarters designated as inadequate and provide a picture of the family housing condition in which lower graded personnel are living. The audit may indicate that more funds are needed or the funding priorities have to be adjusted.

PROGRAM DATA

Division/Line Number	SY/20
Program Director	R. DeCarli
Project Manager	A. Wyllie
Start Date	2/81
Man-Days	600

FREIGHT CLASSIFICATIONS

By memorandum dated May 29, 1980, the Deputy Assistant Secretary of Defense (Supply, Maintenance and Transportation) requested that we initiate an audit in the area of freight classification as soon as possible in light of the deficiencies cited in a study made by the Defense Logistics Agency, the Military Services, and the General Services Administration. The study was made during the period June 1976 through July 1978

Background

At this time we have no background data. The only information we have on the subject is the findings as disclosed during the review cited above

Scope and Objectives

The survey will be performed at DLSC and the offices within the Services who have cognizance in the area of freight classification. We will also determine MTMC's role in this area, and the impact that this lack of uniformity has on the movement of freight. Our specific scope and objectives will be determined during our survey period.

Program Data

Division/Line Number	SY/21
Program Director	S. Nadel
Project Manager	J. Begley
Start Date	3/81
Man-Days	150

Retention Policies and Procedures - Officers and Cadets

Background

For several years DoD and the Congress have worked to jointly develop a Defense Officer Personnel Management Act (DOPMA). The primary purpose of DOPMA was to standardize the management of officer personnel and eliminate inequities between and within the Services in such matters as regular/reserve officer promotion/retention policies and procedures, "up-or-out" criteria, mandatory retirement, etc. The current status of DOPMA is not known; however, the involuntary separation "up-or-out" feature in the Act has been the subject of disagreement between the U.S. House of Representatives and the U.S. Senate. For FY 1980 the House recommended a moratorium on "up-or-out" but the Senate opposed it. The House action was accomplished by a reduction of \$22.7 million in the Military Personnel Appropriation (Army \$10.4M; Navy \$2.4M and AF \$9.9M), representing the cost of recruiting and training replacements for these officers. As a policy, up or out appears to be wasteful of valuable manpower.

Retention has also been a problem with cadets, both in the Reserve Officer Training Corps (ROTC) and in the Service academies. At Service academies, the Services have long experienced high attrition rates (averaging about 35 percent during the 4-year program). We are also concerned that ROTC and academy cadets are "walking away" from commissions after they have been educated at DoD expense. During FY 1981, DoD expects to spend about \$275 million for officer acquisition training. A large portion of this supports ROTC and the 3 Service academies.

Scope

The number of officers affected by "up-or-out" criteria is not presently known; however, the cost of recruiting and training replacements in FY 1980 was estimated at \$22.7 million.

The FY 1981 input to the 3 Service academies is projected as 4,259 with an output of 2,855 or 67 percent (total annual training loads are about constant at 12,600 students). Average enrollments in ROTC in FY 1981 total 97,668.

Objectives

The review will include an evaluation of the Services' up or out policies to determine whether the Services are getting rid of competent officers and what other effect this program has on the retention of qualified officers.

The review will also include an evaluation of retention policies and procedures pertaining to ROTC and academy cadets and whether the Services are receiving the maximum possible use of individuals who receive this education.

Potential Benefits

The review could have a significant impact on officer acquisition training costs that is estimated at \$275 million during FY 1981.

Tentative Locations

OSD & Service Headquarters, Washington, D.C.
Service Training Headquarters (TRADOC, CNET & ATC)
Service Personnel Centers (MILPERSCEN, NAVPERS & AFMPC)

PROGRAM DATA

Division/Line Number	SY/22
Program Director	W. de Monye
Project Manager	R. Baker
Start Date	11/80
Man-days	720

Review of Graduate Education

Background

The Congress has long been concerned about the DoD graduate education program. In FY 1980, the House Appropriations Committee reduced funding by \$2.5 million for graduate education and criticized DoD for underutilizing the Air Force Institute of Technology (AFIT) and the Naval Post Graduate (NPG) School. In past years, the Congress has complained about:

- educating too many people;
- overstating requirements; and
- improperly using personnel who had been educated.

Also, it has interested the auditor that the Service academies offer only bachelors degrees; whereas leading colleges and universities offer masters and doctorate degrees in many fields. Further, senior officer schools educate personnel for 9 to 12 months but do not confer degrees for this work.

Scope

The review will include the 3 Service academies; AFIT at Wright-Patterson AFB, OH; NPG in Monterey, CA; the Industrial College of the Armed Forces (ICAF), Washington, DC; and the senior Service schools at Carlisle Barracks, PA; Newport, RI; and Maxwell AFB, AL.

Objectives

The audit will evaluate the cost-effectiveness aspects of the following to determine whether:

- The Service academies can and should offer advanced degrees.
- AFIT, NPG & ICAF are operated at or near capacity.
- Senior service colleges can and should offer advanced degrees.
- Advanced degrees should be obtained from civilian colleges or universities.

The audit will also include a review of advanced degrees held by warrant officers, limited duty officers, enlisted personnel, civilian employees, as well as reserve and national guard personnel to determine whether those individuals could be used to supplement or reduce advance degree requirements for officers.

Potential Benefit

The review could have significant impact on the DoD graduate education program that, during FY 1980, was funded at about \$36 million. Another \$22.5 million was programmed for senior service colleges for FY 1981.

PROGRAM DATA

Division/Line Number	SY/23
Program Director	W. de Monye
Project Manager	J. Meche
Start Date	3/81
Man-Days	690

Defense Activity for Nontraditional
Education Support (DANTES)

Background

The primary mission of DANTES is to provide nationally recognized testing (SAT, CLEP, GED, etc.) and certification program support to installation education offices and to facilitate the availability of independent study courses from civilian institutions. DANTES also acts as the technical representative for DoD on some education research contracts and provides transcript service for USAFI courses completed prior to May 1974. MRA&L has requested we review the testing program administered by DANTES and the approximately 850 testing centers in DoD. DANTES centrally procures and furnishes tests to the testing centers. Some testing centers apparently encourage unqualified individuals to take tests to inflate center workload. In addition, DANTES has informed us that there are indications that DoD has paid for examinations that were either not received or were lost after receipt. Installation education offices also procure various tests for use in the testing centers, possibly duplicating DANTES efforts.

Scope

The audit would cover the DANTES operations, including purchase of tests by both DANTES and education offices as well as the uses made of those tests. The FY 1980 budget for DANTES is about \$4 million. Additional testing costs are incurred by DoD installations.

Objectives

The objectives are to determine whether:

- Testing centers are administering tests to only qualified personnel.
- There are adequate controls over the receipt, storage and use of tests.
- The most efficient and effective practices are used for the procurement of tests.

Potential Benefits

DANTES estimates that up to \$500,000 was spent in FY 1979 on retesting of personnel. Some retesting may be appropriate. However, retesting to build workload or to increase the likelihood of passing without adequate preparation is a wasteful practice. The potential for fraud and abuse increases substantially if internal controls are inadequate over the receipt, storage and use of tests.

Tentative Locations

OASD (MRA&L)
Service Headquarters
DANTES, Pensacola, FL
Various DoD Installations (primarily in SE U.S.)

PROGRAM DATA

Division/Line Number	SY/24
Program Director	W. de Monye
Project Manager	R. Baker
Start Date	3/81
Man-days	390

DoD Precious Metals Recovery and Utilization

Background

During the period September 1977 - May 1978 a series of 5 DAS audit reports were issued criticizing nearly all aspects of the DoD Precious Metals Recovery and Reutilization Program.

1. Both accountable and physical controls over precious metals were not adequate to preclude loss and/or misappropriation.

2. Only a small percentage of the potential precious metals bearing items had been identified in DPDS's master file, (14,000 of an estimated 150,000 potential) and the actual percent of precious metal content was known for only 1,200 of the 14,000.

3. Millions in procurement dollars were wasted by not utilizing Government-Furnished Material (GFM). GFM precious metals were not used on 76 percent of the sample procurement actions reviewed. When the prior audits were performed the price of gold was \$150 per ounce and silver was \$5 per ounce. A January 2, 1980 article in the Wall Street Journal referenced our prior audits. The Chief of the DPDS recovery program at Colts Neck, NJ, purports that accountability and physical controls have been greatly improved. The article also stated that 84,000 parts have not been coded for precious metal content. The Chief did disclose that utilization is not what it should be considering it is furnished at recovery cost, 22¢ an ounce for silver and \$20.21 for gold. He said, "The demand for this stuff should exceed what we're generating, but it doesn't." The distribution program, he said, "isn't being utilized fully."

This project was scheduled to start early in the 3rd quarter 1980 but was deferred at the request of the DPDS Commander. DPDS had contracted with 3 commercial firms to test new methods and determine the economics of recovering precious metals from electronic scrap. These tests were not scheduled for completion until May 1980.

Also "DLA's FY 1980 Audit Requirements," dated March 19, 1980 identified as a priority 1 requirement, "Precious Metals Recovery Program Billing" (80-I-C-03).

Scope

The review would be interservice. We would review procedures and controls over the identification of precious metal bearing surplus property, recovery of precious metals, accountability,

and utilization of recovered precious metals. We will also evaluate intergovernmental and intro-DLA billing procedures of the precious metals recovery program per DLA's request. During the survey we will determine if all aspects will be reviewed concurrently or on a phased basis.

Objective

Our objective will be to determine what progress has been made since our prior reviews and to identify remaining problem areas.

Potential Benefit

The potential dollar impact of any audit finding has increased significantly since our prior review due to the substantial increases in the price of gold and silver. Considering the Chief's comments regarding utilization it would appear there is still a high potential for additional DoD dollar savings through increased utilization of GFM precious metals on DoD procurements.

Tentative Locations

Activities to be visited in the survey would include:

DLA HQ - Washington DC
DPDS HQ - Battle Creek, MI
Precious Metals Recovery Office - Colts Neck, NJ
DISC - Philadelphia PA
New York Assay Office, New York, NY
Selected Service Inventory Managers
Selected DPDO's

PROGRAM DATA

Division/Line Number	SY/25
Program Director	H. Hertenstein
Project Manager	D. Reed
Start Date	10/60
Man-Days	800

Administration of Cost
Accounting Standard 410 - General And
Administrative Expenses

Background

Cost Accounting Standard (CAS 410) defines G&A expenses and provides for 3 cost input bases to be used by contractors to allocate such expenses. The language in the standard, however, is imprecise and subject to interpretation. This has led to contractors manipulating their accounting systems to unduly allocate overhead costs to Government contracts and/or to gain competitive advantages.

This audit was scheduled for the 4th quarter, FY 1979 but was deferred in August 1979 because DCAA had informed DDRE of problems in implementing CAS 410 at several contractors and requested that DCAA be given authority to determine if contractors are in compliance with the standards and authority to withhold payments until they are in compliance. As of April 21, 1980 no further action has been taken and none is expected soon.

It seems that since August 1979 the administration of the Standard (by ACOs) has gotten progressively worse as evidenced by the following conditions cited recently at an Air Force Pricing Symposium:

- ACOs are not citing contractors for noncompliance with the standards when the contractors are manipulating their accounting systems merely to gain a competitive advantage.

- ACOs are repeatedly reversing their own earlier decisions regarding compliance and often ignoring competent DCAA advice.

- An increasing number of contractors have filed appeals with the ASBCA.

- ACOs are not trained accountants which results in improper decisions and/or inconsistent treatment.

Scope

The CAS 410 covers G&A expenses which equate to \$5 to \$10 billion of annual procurement costs. At one contractor alone, about \$200 million of costs have been improperly treated.

Objective

To determine the adequacy of actions relating to the enforcement of the standard by contracting officers and others.

Potential Benefit

The audit should result in a definitive identification of the scope of administration problems and be instrumental in getting the long awaited corrective action.

PROGRAM DATA

Division/Line Number	SY/26
Program Director	H. Hertenstein
Project Manager	M. Nielsen
Start Date	10/80
Man-Days	800

Management and Control of Engineering
and Technical Services

Background

One result of the OSD reorganization in 1977 was the assignment to the Maintenance Directorate (MD) of ASD(MRA&L) responsibility for DoD Directive 1130.2, "Management and Control of Engineering and Technical Services." The Director for Maintenance Policy has become increasingly concerned about the wartime role of contractor supplied engineering and technical services in support of weapon systems overseas. A contractor, LMI, was tasked to (a) determine the extent of the Military Services' reliance upon civilian (in-house and contract) technicians in critical equipment support roles, (b) assess the effectiveness of existing DoD engineering and technical services policy, and (c) recommend revisions to existing DoD policy.

The LMI study was recently completed and reported the following:

- (1) There is a significant lack of visibility at the headquarters level regarding how much reliance is placed on contractors for engineering and technical services or where the support is being provided;
- (2) Military Departments consider use of contractor engineering and technical services essential/indispensable/critical in support of military equipment in both CONUS and overseas (over 50 percent of civilian technical assistance is overseas);
- (3) cost of contract personnel is at least double or triple that of in-house civilian personnel per manyear;
- (4) military maintenance skills have not kept pace with requirements;
- (5) contractor engineering and technical service requirements are likely to increase in the future due to greater skills required to maintain modern sophisticated weapon systems at satisfactory readiness levels;
- (6) policies stated in DoD Directive 1130.2, "Management and Control of Engineering and Technical Services" are only partially being adhered to but may need minor revision to satisfy real-world requirements;
- (7) in the past, contractor engineering and technical services in wartime has generally been outstanding but potential problem areas and alternative solutions that will satisfy future engineering technical assistance requirements need to be explored.

The LMI report was considered useful by the Maintenance Director, however, the Maintenance Director believes that the status on implementation of the Directive can be better determined by an audit rather than further study effort. Accordingly, an audit request was submitted to DAS.

Scope

We propose to determine the extent of implementation of DoD Directive 1130.2 by the Services. The survey effort will be directed primarily at the Service Headquarters' level, with limited test checks in the field as found necessary.

Objectives

1. To evaluate the extent of implementation of DoD Directive 1130.2 with emphasis on the administration of the program.
2. To evaluate conformance with Defense Acquisition Regulations in acquisition of Engineering and Technical Services.

Potential Benefits

Providing the OSD Maintenance Directorate with sufficient data to enable them to revise existing policies and programs and manage the Engineering and Technical Services program.

PROGRAM DATA

Division/Line Number	SY/27
Program Director	D. Best
Program Manager	L. Woods
Start Date	10/80
Man-Days	540

Aircraft Modifications

Background

The Services use RDT & E procurement and operations and maintenance funds to initiate, develop, procure, and install modifications/alternations of weapons systems and related subsystems and equipment. The elements of the Integrated Logistics Support (ILS) concept apply to each modification of consequence (e.g., changed technical data, personnel and training, provisioning, facilities, changed support and test equipment, management data, etc.)

Current DoD emphasis is upon modernization of weapons systems in existence now in lieu of development of new weapons systems. To illustrate, the Navy plans to spend more than \$3 billion over the next 5 years for advanced technology for about 200 projects; about half of the new technology affects the modification/alternation of existing weapons systems.

Past expenditures for modifications/alternations, particularly for improvements in reliability and maintainability (R & M), have been great in cost with little perceptible increase, and sometimes degradation, in weapons systems'/subsystems' R & M. Examples include:

- The Air Force APQ-120 (F-4E) and Navy/Marine Corps AWG-10 (F-4J) radars for Sparrow missile control have been in existence for about 14 years. The MTBF for the subsystems was established at approximately 18-20 hours. In spite of a great many modifications to the subsystems and related ground support equipment, neither subsystem has attained more than half of its planned MTBF. For the APQ-120, a substantial modification at the Ogden ALC was said to have reduced the MTBF to about 2 1/2 hours; the subsystem must again be modified to realize the pre-modification MTBF. A similar situation apparently affects aircraft turbine engines, where maximum operating times remain unchanged for years in spite of continual modification.

Modifications usually generate from operational commands and/or higher headquarters, and are generally recommended by the subsystem vendor representative.

During the past, and presumably at present, many modifications/alternations were approved and procured with little or no operational testing. This would presumably account for the failure of some R & M modifications, and probably some modifications for improved operational performance to in fact improve subsystems. Pratt and Whitney (P & W) officials stated that they convened with airlines officials at meetings twice annually to identify engine problems that should be pursued and to convince

engines. General Electric (GE) uses a similar, but less formal procedure with similar results. The following data is indicative of modification costs for selected Service aircraft engines:

<u>Service</u>	<u>Engine TMS</u>	<u>Qualification Test Date</u>	(\$ Millions)	
			<u>Initial Investment</u>	<u>Modification Costs (1)</u>
Army	T-55-L-712	(2)	\$295.2	\$109.4
Navy	TF41-A-2	Aug 69	485.2	158.5
Navy	TF34-GE-2,400A	Aug 72	267.2	99.3
Navy	TF30-p-412-414	May 71	1.56 Billion	847.2
Air Force	TF41-A-1	Apr 69	228.5	195.4
Air Force	TF34-GE-100	Oct 74	1 Billion	166.5
Air Force	TF30-P-3,7,9,100	Nov 66	962.9	246.6

(1) Costs shown are for component improvement program (CIP) and kit costs; probably does not include support costs such as special tools for maintenance, technical data, personnel training and other support costs; depot and base kit installation costs also may not be included. CIP for the engines noted are expected to be about \$470 million during the period 1980 - 1985.

(2) Date unknown, but probably during the late 1950s or early 1960s.

Complete budget data regarding modifications/alternations for avionics, weapons control and other subsystems was not readily available. Ship alternation O & M funds alone, authorized by Congress, were \$83.15 million. All modification costs for other weapons systems/equipment were not available due to: (1) applicable costs for O & M funds were "rolled up" into at least budget programs 2,3,7, and 8; and (2) RDT & E and procurement budgets were not available. Based upon data available during FY 1978, and assuming cost increases for inflation and the stress now placed upon weapons systems modernization, total funds for modifications/alternations can be expected to exceed \$6 billion for FY 1980.

Scope

It is proposed that the initial audit be limited to aircraft; follow-on audits could be done of missiles, ships, tanks and

other equipment. For aircraft, it is proposed to select one or 2 engines and one or 2 radar/missile control or avionics subsystems which have been in each Service's inventory for 10 or more years. Data would be accumulated identifying all costs incurred for R & M modifications, and the R & M results obtained. A similar sample of much newer engines and electronic subsystems would be selected, and costs incurred and R & M improvements obtained would be determined. For both samples, the procedures used to select modifications would be identified and evaluated. Most cost data would probably be available only at contractors' sites (i.e., based upon past experience).

Objectives

To identify fund wasted in the procedures used to select modification and the adverse impact upon operational readiness. It is anticipated that the primary cause for the lack of success of many R & M modifications is that the Services do not require vendors to prove the merits of proposed modifications by means of operational tests and evaluation. The audit could be expanded to include enhanced operational capability modifications, for the items selected, at the cost of little additional time.

Potential Benefits

The purpose of the audit would be to encourage the Services to spend scarce funds only for modifications/alternations that were proved to be both cost-effective and desirable.

PROGRAM DATA

Division/Line Number	SY/28
Program Director	D. Best
Program Manager	T.B.D.
Start Date	1/81
Man-Days	580

Occupational Safety and Health Training

Background

Every year 70,000 DoD civilian employees are injured in work-related accidents and another 2,000 contract work-related illnesses. In 1978, the latest year for which complete data is available, accidents and illness killed 28 DoD civilians and caused \$900 million in property damage. A total of 245,000 workdays were lost because of accidents and illnesses in 1978. In 1979, 58,000 civilian employees were awarded about \$213 million as compensation for work-related injuries.

Since the passage of the Occupational Safety and Health Act of 1970, Executive Orders, DoD Directives and Military Department regulations have all required occupational safety and health training for DoD personnel. As a minimum, OSD managers believe that the training should:

- Instruct employees on how to report unsafe or unhealthful working conditions,
- Include instruction in the use of personal protective equipment,
- Emphasize programs for high hazard locations or occupations, e.g., asbestos work, confined spaces, explosives, etc.,
- Be an integral part of new employee indoctrination programs and supervisory development courses, and
- Receive full top management support as evidenced in base level OSH newspaper articles, posters, displays, and handouts.

On May 28, 1980, the DASD(Energy, Environment & Safety) asked for a review of occupational safety and health training in DoD.

Objectives and Scope

The DASD(EE&S) asked us to determine the extent and effectiveness of occupational safety and health training actually given to DoD line supervisors and employees and,

if deficiencies exist, to identify methods to improve the training program. We plan to do this by:

- Evaluating Service and Defense Agency regulations,
- Reviewing training programs at selected installations,
- Reviewing records, if any, of attendance at programmed training sessions,
- Interviewing line supervisors and employees with respect to their knowledge of the hazards of their specific jobs and work areas, safety and health standards applicable to them, relevant symptoms of possible illnesses and other matters that should have been, or were, covered in training sessions.

We plan also to cover enforcement of safety and health precautions. Prior audits lead us to believe that requirements for use of protective devices (goggles, ear plugs, etc.) are often not enforced.

Tentative Locations

We may cover the following installations if teams from the offices shown below are available.

<u>Base</u>	<u>Office</u>
<u>Survey Phase</u>	
OSD and Service Hq. in Washington	Los Angeles
Army Safety Center, Ft. Rucker, AL	"
Navy Safety Center, Norfolk, VA	"
Air Force Inspection & Safety Center, Norton AFB, CA	"
Hq. AFLC, Wright-Patterson AFB, OH	"
Army Health Services Command, Ft. Sam Houston, TX	"
Navy Regional Medical Center, Long Beach, CA	"
<u>Audit Phase</u>	
Marine Corps Base, Camp Pendleton, CA	Los Angeles
Navy Public Works Center, San Diego, CA	"
Naval Shipyard, Long Beach, CA	"

Naval Air Rework Facility, San Diego, CA	Los Angeles
Naval Air Facility, China Lake, CA	"
Air Logistics Center, McClellan AFB, CA	"
Air Logistics Center, Hill AFB, UT	"
Norton AFB, CA	"
U.S. Army Proving Ground, Aberdeen, MD	Philadelphia
U.S. Army Picatinny Arsenal, NJ	"
Letterkenny Army Depot, Chambersburg, PA	"
Tobyhanna Army Depot, PA	"
Military Ocean Terminal, Bayonne, NJ	"
Ft. Detrick, MD	"
Naval Shipyard, Philadelphia, PA	"
Defense Depot, Mechanicsburg, PA	"
Air Logistics Center, Robins AFB, GA	Atlanta
Marine Corps Logistics Support Base, Albany, GA	"
Anniston Army Depot, AL	"
Redstone Army Arsenal, AL	"
Naval Shipyard, Charleston, SC	"
Naval Air Rework Facility, Pensacola, FL	"
Navy Public Works Center, Pensacola, FL	"
Navy Aerospace Medical Center, Pensacola, FL	"

Potential Benefits

1. Respond to an OSD request.
2. Provide OSD with a baseline against which future training progress can be assessed.

PROGRAM DATA

Division/Line Number	SY/29
Program Director	B. Early
Project Manager	T.B.D.
Start Date	11/80
Man-Days	570

Fuel Consumption Reporting

In 1975, as a result of the increasing emphasis on energy management, the Department of Defense established the Defense Energy Information System, which tracks energy consumption. The Defense Fuel Supply Center purchases bulk mobility fuels for the military services. The military departments plan, program, and budget operations and maintenance funds to buy fuel from the Supply Center. Mobility fuel is dispensed from the Center's "wholesale" system with stock fund pricing. In June 1980, the DASD (Energy, Environment and Safety) advised us that the two systems are not currently compatible, i.e., an audit trail cannot be traced from the planning, programming and budgeting process to the final reported consumption in the Defense Energy Information System. He stated that DoD should be able to reconcile the differences and account within 1% for all fuels planned, purchased, and expended.

Objectives: The DASD(EE&S) requested an audit to:

- Reconcile the various systems used to track fuels, directly or indirectly, by several large oil-using bases in each service,
- Determine the margin of error between the systems, and
- Make recommendations for reducing the differences.

Scope: The request addressed itself to all types of mobility fuels but stated that first emphasis should be on posts, camps and stations that order fuel for administrative and support functions under "retail" call-type contracts issued by the Defense Fuel Supply Center. Gasoline and diesel fuel are the mobility fuels commonly used for administrative and support functions. We plan to restrict the scope of this audit to those fuels. Separate audits of other fuels will be scheduled if warranted.

All three service audit agencies are heavily involved in fuels management audits. During the survey, we will determine if our audit effort can be limited through use of their reports.

Tentative Locations

Survey - Defense Fuels Supply Center, Cameron
Station, VA
Army, Navy and Air Force Energy Offices
and Petroleum Requirements Offices,
Pentagon

One base in each service and major commands
as necessary. The bases probably will
be:

Norton Air Force Base, CA
Sharp Army Depot, CA
Naval Construction Battalion Center,
Port Hueneme, CA
Marine Corps Supply Center, Barstow,
CA

PROGRAM DATE

Division/Line Number	SY/30
Program Director	B. Early
Project Manager	N. Ruhl
Start Date	1/81
Man-Days	450

Fast-Pay Procurements

Background

Fast-pay procurements basically provide that suppliers can be paid for goods shipped to DoD customers without evidence of receipt, i.e., the payment is authorized based on a supplier's certification on his invoice that the materiel was shipped. The fast-pay procedures were first used for shipments to overseas customers. They have been expanded over the years to cover any procurements within certain dollar limits. Because of current economic conditions and the ease/economy of handling within the Government, there is some interest in further expanding fast pay. Fast-pay procurements require that the contractor replace missing, defective or damaged materiel found at destination. The current DAR limit for fast-pay contracts is \$10,000 except for overseas awards involving subsistence and medical commodities which have no limit.

DLA is the most significant user of the fast-pay procedures in DoD. No data is collected specifically identifying fast-pay dollar value but we estimate these procurements exceed \$670 million at the DLA hardware centers and Defense Personnel Support Center. In FY 1979, procurements under \$10,000 totaled \$557 million. DLA estimates that 84 percent of the contracts at the hardware centers are fast pay. Assuming a reasonably linear relationship, fast pay at these centers would amount to about \$470 million. Payments by the Centers have averaged about 3 days after receipt of invoice. Another \$200 million plus is estimated for subsistence and medical materiel.

The Comptroller General approved (1968) the fast-pay procedures provided controls existed to assure that supplies are delivered. Other conditions were attached. Within DLA, much of the payment/materiel receipt matching process is highly automated. In a recent audit at DISC, we made a limited analysis of some fast-pay actions and found a lack of appropriate controls and the failure to properly resolve short and discrepant shipments. This involved only deliveries to DLA depots. There are a significant number of fast-pay orders with materiel shipped direct to Military Service customers. DAS Report 80-030, November 14, 1979, discussed deficiencies within DPSC in resolving shortages for subsistence fast-pay shipments to overseas customers. DLA Audit Request 80-I-P-04 requested that DAS audit the effectiveness of receipt and claims procedures for fast-pay contracts. The request was prompted by limited analysis done as part of recent minor changes to the DAR fast-pay requirements. The DLA suggested audit coverage for direct delivery to requisitioners should be expanded to include receipts into storage. Our recent work confirms the requestor's conclusion that there is little reliable information on the adequacy of procedures.

Scope

The audit will include DLA Headquarters, the Defense Supply Centers, Defense Depots, and selected DCASRs and military service customers.

Objectives

To determine:

- a. If applicable DAR provisions for fast pay contracts are being followed.
- b. If the existing materiel receipt controls and feedback system is working.
- c. How effectively the contract provisions protecting the Government rights are enforced.
- d. To determine significant patterns of abuse if they exist.

PROGRAM DATA

Division/Line Number	SY/31
Program Director	C. Hoeger
Program Manager	T.B.D.
Start Date	10/80
Man-Days	550

Management of Subsistence and Clothing and Textile Materiel
at Non-DLA Managed Locations

Background

This is a follow-on to current audit, OSL-072, Management of DLA Owned Materiel at Military Department Stock Points. That project is currently in survey phase. Project 072 will concentrate on DLA materiel and the control-procedures involving Naval Supply Centers, Oakland and Norfolk and the New Cumberland Army Depot. This proposed audit will involve the special procedures and control processes for these two DPSC managed commodities, including DLA-owned subsistence at commercial storage facilities. The value of these commodities at non-DLA managed locations is about \$100 million.

Subsistence. Both nonperishable and perishable subsistence are stored at non-DLA managed activities. In CONUS, nonperishable subsistence is stored at four Navy Supply Centers (Norfolk, Charleston, San Diego and Oakland) for support of Navy ships and certain overseas Navy installations. The inventory at these NSCs averages about \$20 million. In Europe, perishable subsistence is stored in 3 depots of which one, Felixstowe, England is also commercially owned and operated. Perishable subsistence is stored at five service managed supply points. The total inventory value of perishable subsistence stored overseas averages about \$15 million.

Past audits (1977) of materiel at commercial activities disclosed inadequate accountability and poor administration of the contracts. Similar control and accountability problems have been identified for West Pac depots and in audit reports of the Military Services. Data contained in various DLA Inspector General reports indicate that there have been significant perishable item losses before items reach the intended overseas customers. In addition, past problems due to over capacity at commercial warehouses both overseas and CONUS have caused an unwarranted increase in delivery time with resulting unnecessary demurrage and detention charges.

DLA audit request 80-II-0-13 requested an evaluation of physical inventory requirements and procedures for subsistence assets, including invoicing and payment for commercial warehouse services. This subject will be accommodated in the proposed audit.

Clothing and Textile. Clothing and Textile items also are stored at four NSCs (Norfolk, Oakland, San Diego and Great Lakes). On-hand inventory at these locations average about \$42.5 million. In addition \$2.4 million is stored at four attrition sites.

Past audits by internal audits and GAO have cited weaknesses in the control and accountability of the DLA stocks under the control of the services. Lengthy delays in the posting of receipts and issue transactions have in the past, caused increases in shipment costs. In addition, the efforts to complete and research inventory have proved more difficult at these activities.

DLA is currently performing studies to determine the advisability of realigning its supply operations at certain supply depots. One consideration is to by-pass the normal distribution system and have initial receipt issue of C&T items procured for delivery to the users. This will result in more stocks owned by DLA but under the control of the services.

Scope

The audit will include DLA Headquarters, Defense Personnel Support Center, Defense Subsistence Offices/commercial facilities and selected military service locations.

Objectives

To determine:

- a. If adequate accountability procedures and controls have been established.
- b. If commercial warehouse service contract provisions are appropriate and are being applied.
- c. If system interface problems exist between DLA/DPSC and the Military Service locations.
- d. To respond to the audit request on physical inventories and procedures.

PROGRAM DATA

Division/Line Number	SY/32
Program Director	C. Hoeger
Project Manager	J. May
Start Date	10/80
Man-Days	550

EUCOM FIELD OFFICE

AUDITS

DLA/USEUCOM Property Disposal

Background

The audit of Property Disposal offices is a requirement established in the DAS Pink Book. We surveyed the European Region a couple of years ago and planned to audit the major functions in separate segments. After two segments, Military Assistance Property and Precious Metals, I think we should go in and cover the other areas with concentration on the receipt and sale processes. This proposal meets DAS objectives for the 1st and 2nd quarters of FY 81 regarding DLA activities and fraud, waste and abuse. We will cover both military and PDO responsibilities.

Scope

The Defense Property Disposal Region, Europe operates 12 disposal offices which, in turn, have 14 subordinate activities plus 5 scrap collection sites. The annual budget approximates \$12 million for 360 people and operating expenses.

Tentative Locations

Most of the people work in Germany, but about one-third operate PDOs in Greece, Turkey, Spain, Italy and the U.K. Interservice Support Agreements call for services costing about \$1 million. We propose covering operations in Germany, United Kingdom, Spain and Italy.

PROGRAM DATA

Field Office/Line Number	EUCOM/3
Program Director	R. Hay
Project Manager	R. Stricklin
Start Date	12/80
Man-Days	400

Management of Communications Intelligence-EUCOM

Background

Each of the 3 Military Services collect, produce and disseminate intelligence in the European Theater. Because of the amount of intelligence activity, USEUCOM may not have the capability to adequately monitor and coordinate operations. As a result, USECOM's overseer role to eliminate or minimize unnecessary redundancy in intelligence may be seriously hampered.

Scope/Objective

Reviews would be made of the amount of visibility that intelligence programs have within the European theater and to identify improvements and better use of the products. The degree and level of coordination among the various DoD components in theater would be analyzed for efficiency and economy of operation. This audit parallels the PACOM audit project OIV-034, December 3, 1979.

PROGRAM DATA

Field Office/Line Number	EUCOM/4
Program Director	R. Hay
Project Manager	R. Bertocchi
Start Date	2/81
Man-Days	400

PACOM FIELD OFFICE

AUDITS

CHAMPUS Controls in the Pacific Command

Background

DAS has not performed any audit work in the Pacific involving CHAMPUS. However, during a CHAMPUS review conducted in Denver, DAS surfaced indications of problems involving CHAMPUS payments for claims initiated in Korea. In response to DAS tasking, the U.S. Army CID conducted an investigation in Korea and documented fraudulent CHAMPUS transactions estimated at much more than \$250,000. Estimates run as high as \$2.2 million.

Recently, CHAMPUS claims processing procedures and controls in the Pacific area have been revised significantly. All claims are not forwarded by individual claimants or participating civilian medical facilities directly to the Hawaii Medical Service Association (HMSA) for payment. Data available from centralized CHAMPUS records at Denver indicate that paid claims for personnel in Hawaii amount to about \$800,000 a month, or about \$9.6 million a year. Denver records indicate that HMSA pays another \$1.8 million annually for claims received from other supported personnel throughout the PACOM (e.g., the Republic of Korea, Japan and the Philippines.) The "other" PACOM costs appear low. Current details will be acquired from HMSA during the DAS survey effort for the project.

Considering past indications of fraud and perceived weaknesses in current eligibility validation controls, protective audit is warranted. Two major areas should be covered: (i) controls within the military organizations to use available in-house medical support before authorizing commercial support--to reduce DoD/CHAMPUS costs, and (ii) verification of eligibility and receipt of services for submitted claims.

Scope

We will evaluate the adequacy of Military Service controls in Hawaii and the Republic of Korea for limiting commercial medical support authorizations to circumstances wherein military medical facilities cannot provide necessary support, consistent with CHAMPUS program requirements. We will also verify the eligibility and receipt of medical services for a sampling of claimants, from documents at the HMSA, in Hawaii and Korea. Verification work will involve inquiries to CHAMPUS records in Denver, local Service personnel records, validation questionnaires, personal contacts with involved claimants, and other techniques.

Objectives

This protective audit should act as a deterrent to potential fraud, assure that CHAMPUS costs are limited to circumstances wherein support is not available from Service medical facilities, and surface claim processing control problems short of HMSA responsibilities (that are audited by HEW).

Potential Benefits

The major goal is to assure that past control faults have been corrected to reduce the potential for fraud against the U.S. Government. Related benefits far outweigh the audit investment.

PROGRAM DATA

Field Office/Line Number	PACOM/4
Program Director	J. Brown
Project Manager	O. Jasper
Start Date	11/80
Man-Days	360

MANAGEMENT OF DLA-OWNED SUBSISTENCE INVENTORIES IN HAWAII

Background

The Worldwide Integrated Management of Wholesale Subsistence (WIMS) program was initiated in 1974. Under this program, a designated Service organization acts as the DLA agent in a specified area for providing subsistence support to authorized customers. The agent's responsibilities for subsistence includes receiving and processing requisitions for troop issue; performing local inventory management functions; initiating replenishment actions; receiving, storing and issuing stocks on a common service nonreimbursable basis; providing subsistence support to authorized customers; and receiving and managing excess stocks received from authorized customers. In Hawaii, the Naval Supply Center at Pearl Harbor is the agent supporting the needs of approximately 50,000 military and 25,000 dependents. The Services also act as the DLA agent for similar programs in Korea, the Philippines and Japan. DAS has not made any reviews in the PACOM of this DLA responsibility in the past several years.

Scope

The review will evaluate the adequacy of procedures, practices and controls for the receipt, storage, issue, replenishment and safeguarding of DLA-owned perishable and nonperishable subsistence inventories. Coverage will include coordination with the Defense Personnel Support Center in Philadelphia, Defense Subsistence Regional Office in Alameda, and the PACOM Liaison Office of the Region at Camp Smith, Hawaii. Verification work will be performed primarily at the Naval Supply Center, Pearl Harbor together with a selection of supported Service organizations.

Objectives

The primary goal of the review will be to evaluate the effectiveness and efficiency of the WIMS agent in managing DLA inventories and providing necessary support to authorized customers. A secondary goal will be to evaluate the potentials for expansion of the WIMS program. (The results of the review in Hawaii will be considered for additional project programing to cover Japan, Korea and the Philippines.) During this project, PACOM will provide requested assistance to SY (Philadelphia Region) on the Project-Management of Subsistence and Clothing and Textile Materiel at Non-DLA Managed Locations (per 7/23/80 telecon between Messrs. Brown and Hoeger).

Potential Benefits.

In addition to potential improvements in the efficiency and economy of related operations, the review will provide protective audit coverage of an area subject to at least pilferage.

Program Data

Field Office/Line Number	PACOM/5---
Program Director	J. Brown
Project Manager	O. Jasper
Start Date	11/80
Man-days	170

DOD CONSTRUCTION PROGRAMS IN THE REPUBLIC OF KOREA

Background

The FY 1981 Congressional Presentation Document includes \$110 million for military construction projects in the Republic of Korea (ROK), out of \$352 million for the PACOM and Indian Ocean areas. The ROK program provides \$64 million for Eighth U.S. Army projects, \$36 million for 314th Air Division projects, and \$10.5 million for dependent schools facilities. DAS has not made any reviews of military construction projects in the ROK during the past several years. Considering the significance of the current construction programs, U.S. ground force adjustments and U.S./ROK combined force initiatives, a comprehensive review is warranted.

Scope

The review will evaluate the adequacy of policies, procedures, practices and controls in the ROK for: development of a justified long range U.S. military construction program; integrated prioritization of overall needs for fiscal year requests; annual revalidation of proposed projects; and general coordination within the U.S. forces and with the ROK forces. Records will be reviewed at the subordinate unified command, organizations of the military components, the Joint U.S. Military Assistance Group - Korea, and other separate DoD organizations.

Objectives

The primary objective will be to assure that requests for military construction projects are adequately justified, coordinated and prioritized consistent with operational requirements. A secondary objective will be to evaluate the reasonableness of estimated costs submitted for OSD action.

Potential Benefits

This is a major gold flow area of concern to Congress. Equally important is the need for assurance that scarce MILCON funds are invested in projects of greatest need regardless of individual Service and Agency desires. We must also be sure that changing operational circumstances are continually

considered, and that cost estimates are sufficiently sound to permit completion of authorized projects. In effect, the review represents protective audit as a service to management.

Program Data

Field Office/Line Number	PACOM/6
Program Director	J. Brown
Project Manager	H. Followell
Start Date	11/80
Man-days	170

DOD PROGRAMS TO CONTROL SALES OF EXCHANGE
AND COMMISSARY GOODS IN THE PACIFIC

Background

A recent management study estimated annual costs of \$6.8 million for operating the DoD Ration Control System in the Republic of Korea (ROK). New management initiatives in the ROK include the use of 25 to 50 enlisted personnel on a daily extra duty basis to maintain surveillance of purchases at every exchange and commissary sales point (cash register). Every purchase of even a single pack of cigarettes at a snack shop is now being avvilled for recording against the authorized rations. Any general purchase (e.g., snacks) exceeding \$1 is also being avvilled.

In addition, serious consideration is being addressed to the systemwide installation of television monitors and a real-time customer account system (similar to Sears) for the immediate posting of each customer's purchases and feedback if total purchases exceed dollar or product quantity ration limitations. The estimated costs for the new Sears-type registers, computer, software and connectivity is about \$1 million.

The basic management concern justifying the intensive control of exchange and commissary sales is the recurring criticism/interest of Congress in the growing dollar value of such sales at overseas locations. A secondary concern is assuring compliance with bilateral agreements in countries such as the ROK that permit duty-free import of applicable goods for the support of U.S. personnel. In essence, the basic goal of ration controls is to avoid the unauthorized channeling of U.S. exchange and commissary goods to indigenous populations (e.g., the Koreans). A secondary goal is to avoid support of unsponsored U.S. personnel at overseas locations.

Our initial observations indicate that the growing cost of the ration control system and potential harrassment of management-sponsored personnel in the ROK may have reached a point of inconsistency with DoD benefits, and possibly Congressional intentions. For example, at the same time that DoD is striving to make Service life attractive for retaining personnel, the ration control system appears to be harrassing military members and their families. In addition, it is unlikely that either the AMEMB or the ROK Government is anxious to absolutely dry up the filtering of U.S. goods to the ROK economy, since there is no depletion of ROK foreign exchange and the indigenous population benefits. Further, there does not appear to be any negative impact on gold flow, while U.S. exports benefit. Certainly, there must be

a reasonable level of DoD controls to restrict large scale black marketing of exchange and commissary goods subsidized by the U.S. taxpayer. The important issue is the level of DoD/Congressional expenditures that are reasonable for related goals and realities. It is time to define the issues for DoD and Congressional reconsideration of costs.

Scope

The review will define, compare and evaluate the reasonableness of DoD ration control systems in the ROK, the Philippines and Japan. Primary emphasis will be addressed to the evolving political and economic circumstances causing modifications to ration control systems, together with the reasonableness of DoD costs and impacts on supported populations.

Objectives

The primary goal will be to provide OSD management with verified details and audit opinions on maintaining reasonable exchange and commissary sales operations at overseas locations. Control options will be defined for OSD consideration.

Potential Benefits

An adequate definition of the issues, costs, impacts and practical options dealing with overseas ration control systems could provide OSD with the information needed to approach Congress for reconsideration of the costly controls. Favorable actions could save several million dollars a year just in the ROK, and contribute to satisfaction and retention of military personnel.

Program Data

Field Office/Line Number	PACOM/7
Program Director	J. Brown
Project Manager	H. Followell
Start Date	1/81
Man-days	170

MILITARY SERVICE INTELLIGENCE OPERATIONS IN HAWAII

Background

DAS Project OIV-034, Coordination of Intelligence Operations in Hawaii, was overtaxed by management requests and resulted basically in an evaluation of intelligence analyst requirements together with an evaluation of CINCPAC and Intelligence Center, Pacific operations. Sufficient time was not available, within the confines of a reasonable elapsed period, to perform a comprehensive review of Service intelligence operations, although limited work did result in related audit products. This review will finalize an initial evaluation of the entire intelligence complex in Hawaii.

Scope

The review will evaluate the efficiency and economy of Service intelligence organizations in Hawaii. Primary work will involve operations within the component Service headquarters as well as the Fleet Intelligence Center, Pacific, Fleet Ocean Surveillance Intelligence Center, and the 548th Reconnaissance Technical Group.

Objectives

The review will evaluate the adequacy of management actions to accomplish assigned missions in an efficient and economical manner. Summary opinions on the adequacy of overall interservice coordination will consider the results of Project OIV-034.

Potential Benefits

It is envisioned that the review will identify significant improvement and economy potentials that will benefit mission accomplishment at reduced costs.

Program Data

Field Office/Line Number	PACOM/ 8
Program Director	J. Brown
Project Manager	W. Guy
Start Date	2/81
Man-days	160

HIGH FREQUENCY COMMUNICATIONS NETWORK IN THE PACIFIC

Background

Due to management concerns about the survivability of satellite communications, there has been renewed interest in High Frequency (HF) radio communications in the PACOM. HF radio communications have been neglected for several years while satellite communications have been emphasized. Much of the existing equipment is old, reaching the end of serviceable life, and behind modern state-of-the art. Many HF communications links were closed with emergence of satellite communications. Related management concerns and emphasis warrant audit investments to provide supported audit opinions on problems and potential corrective actions.

Scope

The review will evaluate the current and projected reliability of major HF systems in the PACOM to satisfy primary and contingency support missions. Survey work will be performed at principal management organizations in Hawaii. (Preliminary data will also be acquired at the U.S. Army Communications Command in Arizona during a visit scheduled for September 1980.) Verification work, as justified by survey results, may include operations in Hawaii, Guam, Japan, Korea, the Philippines and Australia.

Objectives

The primary objective will be to evaluate the adequacy of management actions to maintain necessary HF communications capabilities.

Potential Benefits

Results of the review will provide management with opinions on the readiness of vital communications capabilities together with recommendations for any needed improvements.

Program Data

Field Office/Line Number	PACOM/ 9
Program Director	J. Brown
Project Manager	J. Hereford
Start Date	2/81
Man-days	130

PERSONNEL REQUIREMENTS



DEFENSE AUDIT SERVICE

ASSESSMENT OF WORKLOAD AND MANPOWER REQUIREMENTS

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- B. Interservice/Multilocation Audits in all DoD Components
- C. Audits of the Security Assistance Program
- D. Request/Trouble Shooting Audits (FY 1977)



DEFENSE AUDIT SERVICE

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October 14, 1976
NUMBER 5105.48

ASD(C)

Department of Defense Directive

SUBJECT Defense Audit Service (DAS)

References: (a) DoD Directive 7600.2, "Department of Defense Audit Policies," August 19, 1965
(b) DoD Instruction 7600.3, "Internal Audit in the Department of Defense," January 4, 1974

I. GENERAL

Pursuant to the authority vested in the Secretary of Defense, the Defense Audit Service (DAS) is hereby established as an Agency of the Department of Defense under the direction, authority, and control of the Secretary of Defense.

II. APPLICABILITY

The provisions of this Directive apply to the Office of the Secretary of Defense, the Military Departments, the Organization of the Joint Chiefs of Staff, the Defense Agencies, and the Unified/Specified Commands (hereinafter referred to as "DoD Components").

III. ORGANIZATION AND MANAGEMENT

- A. The DAS shall consist of: a Director, a headquarters establishment, and such subordinate elements as are established by the Director, DAS, for the accomplishment of DAS's mission.
- B. The Director, DAS, will be a civilian appointed by the Secretary of Defense.
- C. The Director, DAS, shall report to the Secretary of Defense.

IV. RESPONSIBILITIES AND FUNCTIONS

- A. The Director, DAS, shall organize, direct, and manage the DAS and all elements and resources assigned to the DAS.
- B. In accordance with references (a) and (b) the Director, DAS, shall:
1. Plan and perform internal audits of the Office of the Secretary of Defense, the Organization of the Joint Chiefs of Staff, the Unified/Specified Commands, and the Defense Agencies.
 2. Plan and perform interservice audits in all DoD Components.
 3. Plan and perform quick response audits on matters of special interest to the Secretary of Defense.
 4. Plan and perform audits of the Security Assistance Program at all levels of management.
 5. Plan and perform such other audits as requested.

DEFENSE AUDIT SERVICE

AUDIT WORKLOAD AND MANPOWER REQUIREMENTS

SUMMARY

<u>Area of Audit Responsibility</u>	<u>Workload Direct Man-Years</u>		<u>Manpower Required</u>
	<u>Total</u>	<u>Annual</u>	
Internal Audits of Defense Agencies, OSD/OJCS and Unified Commands	591	257	343
Interservice Audits in all DoD Components	996	199	265
Audits of the Security Assistance Program	63	31	41
Request/Troubleshooting Audits	<u>170</u>	<u>85</u>	<u>113</u>
TOTAL	<u>1,820</u>	<u>572</u>	<u>762</u>

RATIONALE AND METHODOLOGY FOR ASSESSING WORKLOAD
AND MANPOWER REQUIREMENTS

DoD Instruction 7600.3 sets forth standards for audit frequency. DoD Directive 5105.48 assigns areas of responsibility to DAS. To meet the standards for audit frequency in its assigned areas of responsibility, DAS should plan and perform audits as follows:

A. Internal audits of OSD/OJCS, Unified/Specified Commands, and Defense Agency installations and activities having significant responsibilities. Most should be done on a 2-year cycle and some on a 4-year cycle.

B. Interservice audits in all DoD components based on need and significance. The other internal audit organizations of the DoD should cover significant entities of the Military Services and we should cover the Defense Agencies as part of the normal internal audit cycle. Therefore, the need for scheduling corporate level audit evaluations DoD-wide was tied to the 5-year defense program which portrays the magnitude of the Department's accountability. To assess accountability in accordance with the three elements for comprehensive audit set forth in the GAO standards, the interservice-multilocation audit workload was measured in relative terms by program element, by appropriation budget title, and in some cases, by organizational entity, e.g., DCPA, DIS. By scheduling audits of significant subjects as related to the 5-year defense program, all major aspects of departmental accountability would be afforded

corporate level evaluation on a regular cycle either by program element or appropriation budget title.

C. Activity and integrated audits of the Security Assistance Program at all levels of management. Because of the sensitivity and significance of this program, a 2-year audit cycle is warranted.

D. Special and request audits to the greatest extent practicable in consideration of audit priorities and available audit resources as long as there is no adverse impact on the independence and objectivity of the audit work. If the DAS were adequately staffed to plan and perform recurring audits on a reasonable cycle as outlined in A, B, and C above, we estimate that about 50 percent of current request audits could be satisfied within the scope of the scheduled audits.

Pursuing the above rationale, workload and manpower requirements were assessed for each area of responsibility assigned DAS. In total, reasonable coverage could be accorded the major areas of audit responsibility with a total personnel strength of 762. A description of the methodology and the results is summarized for each area in the sections which follow.

RATIONALE AND METHODOLOGY FOR ASSESSING
INTERNAL AUDIT WORKLOAD

In accordance with DoD Instruction 7600.3, we made an inventory of all entities under DAS cognizance for internal audit. The entities subject to recurring audit coverage were determined by name and location, and an estimate was made of the number of direct man-days required to perform an audit of each entity. The total number of man-days required to perform recurring cyclic audits was then assessed for the OSD/OJCS, Unified Commands and each Defense Agency. The inventory included 79 major locations and over 874 minor locations. It would require 343 personnel to accomplish this work. This includes auditors and administrative support. The supporting data for the assessment of DAS internal audit workload are presented in the schedules which follow.

RECAPITULATION

INTERNAL AUDIT WORKLOAD
DEFENSE AGENCIES AND
OSD/OJCS, UNIFIED COMMANDS

<u>Activities</u>	<u>Million Annual \$</u>	<u>Personnel</u>	<u>Total DAS Personnel Required</u>
DLA	\$ 961	49,000	137
NSA	Classified		68
DMA	222	7,900	37
DCA	145	3,100	26
DNA	202	1,100	19
DIA	250	4,400	19
DCAA	77	3,500	4
DIS	29	2,400	4
DCPA	90	600	3
DARPA	281	150	3
OSD/OJCS	1,042	3,400	20
Unified Commands	65	4,200	3
TOTAL	<u>3,364^{1/}</u>	<u>79,750^{1/}</u>	<u>343</u>

^{1/} Excludes NSA

RECAPITULATION

INTERNAL AUDIT WORKLOAD
DEFENSE AGENCIES AND
OSD/OJCS, UNIFIED COMMANDS

Scope of Activity

<u>Activities</u>	<u>Locations</u>		<u>Auditable Entities</u>
	<u>Major</u>	<u>Minor</u>	
DLA	30	465	527
NSA	8	13	127
DMA	5	37	221
DCA	6	6	57
DNA	3	0	19
DIA	1	86	44
DCAA	7	0	1
DIS	1	255	5
DCPA	9	2	7
DARPA	1	1	11
OSD/OJCS	1	6	44
Unified Commands	<u>7</u>	<u>3</u>	<u>49</u>
TOTAL	<u>79</u>	<u>874</u>	<u>1,156</u>

ACTIVITY: DEFENSE LOGISTICS AGENCY

WORKLOAD AND MANPOWER
REQUIREMENTS COMPUTATIONS

Direct man-days required	<u>72,088</u>
Direct man-years required (@ 260 man-days)	<u>277</u>
<u>Annual Workload (man-years)</u> <u>2-year cycle, except DCAS - 4-year cycle</u>	<u>103</u>
Total Personnel Required (Based on 75-25 Direct-Indirect Ratio)	<u>137</u>

DEFENSE LOGISTICS AGENCY
SUMMARY OF AUDIT WORKLOAD

MAN-DAY REQUIREMENTS

	<u>Supply Centers</u>	<u>Depots</u>	<u>Logistics Services</u>	<u>Contract Administration</u>	<u>TOTAL</u>
Supply Management	8,000	1,910	8,820	---	
Comptroller	3,350	780	265	8,100	
Procurement and Contract Administration	2,760	---	20	26,864	
Personnel Management	940	750	80	360	
Support Services	1,545	1,125	680	1,820	
Automatic Data Processing	795	600	230	---	
Nonappropriated Funds	465	165	---	234	
Manufacturing	180	---	---	---	
Transportation	560	500		---	
Research and Development			90	---	
Man-days	<u>18,695</u>	<u>5,830</u>	<u>10,185</u>	<u>37,378</u>	<u>72,088</u>
Man-years Required	<u>72</u>	<u>22</u>	<u>39</u>	<u>144</u>	<u>277</u>
Annual Workload (2-year cycle except DCAS - 4-year)	<u>36</u>	<u>11</u>	<u>20</u>	<u>36</u>	<u>103</u>
Manpower Requirement (@ 75/25% Direct/Indirect)	<u>48</u>	<u>15</u>	<u>26</u>	<u>48</u>	<u>137</u>

DEFENSE LOGISTICS AGENCY

MAJOR OPERATING ACTIVITY
Dayton, Ohio

Defense Electronic Supply Center,

SUBORDINATE ACTIVITIES:

None

X X

AUDIT WORKLOAD

FUNCTIONAL GROUPING

MAN-DAY REQUIREMENTS

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
Supply Management	
Stock Control	400
Item Management	300
Standardization	80
Cataloging	70
Tech. Data Management	30
Provisioning	40
Value Engineering	50
Quality Assurance	15
Item Distribution	
Receiving	120
Warehousing	50
Packing and Shipping	120
Inventory	130

AUDIT WORKLOAD (CONTINUED)

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
Comptroller	
Program/Budget	40
Financial Accounting	
Stock Fund	250
O&M	50
Management Inro & Analysis	50
Disbursing	
Commercial Vouchers	80
Management Engineering	110
Procurement & Contract Admin.	
Procurement	220
Contract Administration	90
Personnel Management & Pay	
1. Installation Personnel	50
2. DoD Centralized Referral Program	40
3. Pavroll	150
Support Services	
Administrative Services	10
Operating Materiel	100
Facilities Engineering	100
Security	70
Telecommunications	15
ADP Systems	150
SAMMS	
APCAPS	
MOWASP	
DAAS	
Transportation	125
Nonappropriated Funds	
Officers Open Mess	50
Post Restaurant	10
Civilian Welfare	5
United Fund	1
NCO Open Mess	50

*Rounds to zero

DEFENSE LOGISTICS AGENCY

MAJOR OPERATING ACTIVITY Defense Fuel Supply Center,
Alexandria, VA

SUBORDINATE ACTIVITIES:

Defense Fuel Region, McGuire AFB, NJ (&11 subordinate DFSP
Defense Fuel Region, Lynn Haven, Florida
Defense Fuel Region, Europe (&42 subordinate DFSP&DFQAR)*
Defense Fuel Region, Pacific (&35 subordinate DFSP&DFQAR)*
Defense Fuel Quality Assurance Ofc. Middle East
Defense Fuel Quality Assurance Ofc. Caribbean
Defense Fuel Region, St. Louis, Mo(&7 subordinate DFSP)*
Defense Fuel Region, Houston, Tex(&18 subordinate DFSP)*
Defense Fuel Region, Los Angeles (&10 subordinate DFSP)*
Defense Fuel Region Alaska (&7 subordinate DFSP)*

DFSP - Defense Fuel Supply Point
DFQAR - Defense Fuel Quality Assurance Residences

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
Supply Management	
Stock Control	50
Inventory Management	20
Quality Assurance	40
Technical Services	30
Shipping	200
Warehousing & Inventory	600
Receiving	100
Comptroller	
Program/Budget	40
Financial Accounting	
Stock Fund	180
O&M	30
Management Info & Analysis	20
Management Engineering	40
Commercial Vouchers*	80

*Function performed by DLA
Admin Support Center, Cameron Station, VA

DEFENSE LOGISTICS AGENCY

MAJOR OPERATING ACTIVITY _____
 Richmond, VA

Defense General Supply Center,

SUBORDINATE ACTIVITIES:

None

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
Supply Management	
Stock Control	400
Item Management	300
Standardization	50
Cataloging	70
Tech Data Management	30
Provisioning	35
Value Engineering	50
Quality Assurance	15
Item Distribution	
Receiving	120
Warehousing	30
Packing & Shipping	120
Inventory	130

AUDIT WORKLOAD (CONTINUED)

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
Comptroller	
Program/Budget	40
Financial Accounting	
Stock Fund	250
U&M	60
Management Inro & Analysis	30
Disbursing	
Commercial vouchers	80
management engineering	110
Procurement & Contract Admin	
Procurement	220
Contract Administration	90
Personnel Management & Pay	200
Support Services	
Administrative Services	10
Operating Materiel	100
Facilities Engineering	100
Security	70
Telecommunications	15
ADP Systems	130
SAMMS	
APCAPS	
MOWASP	
Transportation	125
Nonappropriated Funds	
Officers Open Mess	55
Post Restaurant	25
Civilian Welfare Fund	10
Unit Fund	10

AUDIT WORKLOAD (CONTINUED)

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
Comptroller	
Program/Budget	50
Financial Accounting	
Stock Fund	250
O&M	60
Industrial Fund	50
Management Info & Analysis	50
Disbursing	
Commercial Vouchers	150
Management Engineering	110
Procurement & Contract Admin	
Clothing & Textiles Proc.	150
Medical Procurement	100
Subsistence Procurement	
Brand Name	250
Specification	200
Perishables	500
Contract Administration	60
Personnel Management & Pay	250
Manufacturing	180
(Clothing Factory)	
Support Services	
Administrative Services	10
Telecommunications	15
Facilities Engineering	100
Operating Materiel	100
Installation Procurement	20
ADP Systems	175
SAMMS	
Subsistence	
C&T	
APCAPS	
MOCAS (for DCASR)	
Transportation	50
Nonappropriated Funds	
Officers Open Mess	55
Post Restaurant	50
Civilian Welfare	5
Unit Fund	5
Central Accounting	50

DEFENSE LOGISTICS AGENCY

MAJOR OPERATING ACTIVITY

Defense Depot Memphis, Tenn.

SUBORDINATE ACTIVITIES:

None

X X

AUDIT WORKLOAD

FUNCTIONAL GROUPING

MAN-DAY
REQUIREMENTS

Supply Management	
Receiving	120
Warehousing	50
Packing & Shipping	120
Inventory	130
Comptroller	
Program/Budget	20
Financial Accounting	50
Management Info & Analysis	30
Management Engineering	80
Disbursing	15

DEFENSE LOGISTICS AGENCY

MAJOR OPERATING ACTIVITY Defense Depot Tracy, Calif.

SUBORDINATE ACTIVITIES: _____

None

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
Supply Management	
Receiving	120
Warehousing	50
Packing & Shipping	120
Inventory	130
Industrial Plant Equipment Storage and Maintenance	70
Direct Commissary Support	50
Comptroller	
Program/Budget	20
Financial Accounting	50

DEFENSE LOGISTICS AGENCY

MAJOR OPERATING ACTIVITY Defense Depot Ogden Utah

SUBORDINATE ACTIVITIES:

None

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
Supply Management	
Receiving	120
warehousing	30
Packing and Shipping	120
Inventory	130
Comptroller	
Program/Budget	20
Financial Accounting	30
Management Info & Analysis	30
Management Engineering	80
Disbursing	15

DEFENSE LOGISTICS AGENCY

RECAP

MAJOR ACTIVITY Logistics Services

NUMBER OF OPERATING ACTIVITIES 190

PERSONNEL 6,476

ANNUAL APPROPRIATION \$147 million

OTHER MISSION WORKLOAD FACTORS:

<u>DoD Reutilization of Excess Material</u>	\$993 million
<u>Proceeds of Sale of Excess Material</u>	150 million
<u>Items in DoD Catalog of Supply Items</u>	3.8 million
<u>Value of Industrial Plant Equipment in Idle Inventory</u>	\$338 million
<u>Research Document Requests Processed</u>	202 thousand

X X

AUDIT WORKLOAD

FUNCTIONAL GROUPING

MAN-DAY
REQUIREMENTS

<u>Supply Management</u>	<u>8,820</u>
<u>Comptroller</u>	<u>265</u>
<u>Personnel Management</u>	<u>80</u>
<u>Support Services</u>	<u>680</u>
<u>ADP System</u>	<u>230</u>
<u>Procurement</u>	<u>20</u>
<u>Research and Development</u>	<u>90</u>
	<u>10,185</u>

DEFENSE LOGISTICS AGENCY

MAJOR OPERATING ACTIVITY Defense Automatic Addressing System

Office, Dayton, Ohio

SUBORDINATE ACTIVITIES: _____

Defense Automatic Addressing System Office,
Tracy, California

X X

AUDIT WORKLOAD

FUNCTIONAL GROUPING

MAN-DAY REQUIREMENTS

<u>Supply Management Automatic Addressor</u>	_____
Oper	<u>60</u>
ADP System	_____
DAAS	<u>(1)</u>
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

(1) Operated by Defense Electronic Supply Center

DEFENSE LOGISTICS AGENCY

MAJOR OPERATING ACTIVITY Defense Documentation Center

SUBORDINATE ACTIVITIES:

None

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
<u>Research & Development</u>	
<u>Information Science (Cataloging)</u>	<u>50</u>
<u>Technical Services</u>	<u>10</u>
<u>Report Publications Production</u>	<u>20</u>
<u>Micrographic Processing</u>	<u>10</u>
<u>Comptroller</u>	
<u>Program/Budget</u>	<u>15</u>
<u>Support Services</u>	<u>20</u>
<u>ADP System</u>	<u>80</u>
<u>DDC System</u>	

DEFENSE LOGISTICS AGENCY

MAJOR OPERATING ACTIVITY Defense Industrial Plant Equipment
Center, Memphis, Tennessee.

SUBORDINATE ACTIVITIES:

Defense Industrial Plant Equipment Facility,
Atchison, Kansas

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
<u>Supply Management</u>	
<u>Commodity Accounting</u>	<u>200</u>
<u>Cataloging</u>	<u>50</u>
<u>Technical Services</u>	<u>20</u>
<u>Maintenance Engineering</u>	<u>40</u>
<u>Comptroller</u>	
<u>Program/Budget</u>	<u>20</u>
<u>Procurement</u>	
<u>Contract Administration</u>	<u>20</u>
_____	_____
_____	_____

DEFENSE LOGISTICS AGENCY

MAJOR OPERATING ACTIVITY Defense Logistics Services Center,
Battle Creek, Michigan

SUBORDINATE ACTIVITIES: _____

None.

X X

AUDIT WORKLOAD

FUNCTIONAL GROUPING

MAN-DAY
REQUIREMENTS

<u>Supply Management</u>	
<u> Cataloging</u>	
<u> Item Identification</u>	<u>900</u>
<u> Logistics Data Management</u>	<u>600</u>
<u> Technical Data</u>	<u>800</u>
<u> International Codification</u>	<u>100</u>
<u> Item Management Publications</u>	<u>250</u>
<u>Comptroller</u>	
<u> Resources Management (Budget)</u>	<u>30</u>
<u> Management Info & Analysis</u>	<u>30</u>

DEFENSE LOGISTICS AGENCY

MAJOR OPERATING ACTIVITY Defense Property Disposal Service,
Battle Creek, Michigan

SUBORDINATE ACTIVITIES:

- Defense Property Disposal Region, Ogden, Utah
and 30 subordinate disposal activities.
- Defense Property Disposal Region, Columbus, Ohio
and 57 subordinate disposal activities.
- Defense Property Disposal Region, Memphis, Tennessee
and 59 subordinate disposal activities.
- Defense Property Disposal Region, Pacific (Honolulu)
and 12 subordinate disposal activities.
- Defense Property Disposal Region, Europe (Wiesbaden)
and 21 subordinate disposal activities.

Totals - 5 disposal regions with 179 subordinate disposal activities

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
<u>Supply Management</u>	
<u> Reutilization & donation</u>	<u>1,200</u>
<u> Surplus sales</u>	<u>400</u>
<u> Demilitarization</u>	<u>800</u>
<u> Precious metals recovery</u>	<u>600</u>
<u> Property accountability</u>	<u>1,000</u>
<u> Receiving</u>	<u>900</u>
<u> Warehousing</u>	<u>500</u>
<u> Issuing Property</u>	<u>400</u>
<u>Comptroller</u>	
<u> Program/Budget</u>	<u>50</u>
<u> Management Info & Analysis</u>	<u>40</u>
<u> Management Engineering</u>	<u>80</u>

DEFENSE LOGISTICS AGENCY

MAJOR OPERATING ACTIVITY Defense Contract Administration

Services (DCAS) HQ

SUBORDINATE ACTIVITIES:

X X

AUDIT WORKLOAD

FUNCTIONAL GROUPING

MAN-DAY REQUIREMENTS

Procurement and Contract Admin.	<u>160</u>
Contract Administration	<u>40</u>
Quality Assurance	<u>40</u>
Production	<u>40</u>
Contract Compliance	<u>20</u>
Industrial Security	<u>20</u>
Plans & Management	<u>20</u> <u>20</u>

DEFENSE LOGISTICS AGENCY

MAJOR OPERATING ACTIVITY

DCAS Region - Atlanta

SUBORDINATE ACTIVITIES:

<u>DCASMAS:</u>	<u>DCASPROs:</u>
Birmingham, AL	Western Electric
New Orleans, LA	E-Systems
Orlando, FL	Hayes-Dothan
St. Petersburg, FL	Hayes-Birmingham
Miami, FL	Grummon
Atlanta, GA	Aero

X X

AUDIT WORKLOAD

FUNCTIONAL GROUPING

MAN-DAY REQUIREMENTS

<u>Procurement and Contract Admin:</u>
<u>Contract Administration**</u>
<u>Quality Assurance**</u>
<u>Production**</u>
<u>Contract Compliance*</u>
<u>Industrial Security*</u>
<u>Comptroller Services:</u>
<u>Systems Management</u>
<u>Budget</u>
<u>Accounting and Finance</u>
<u>Data Processing</u>
<u>Contract Data</u>
<u>Personnel Management & Payrolls:</u>
<u>Safety and Health</u>

<u>3035</u>
<u>1850</u>
<u>525</u>
<u>450</u>
<u>100</u>
<u>100</u>
<u>900</u>
<u>20</u>
<u>10</u>
<u>600</u>
<u>10</u>
<u>260</u>
<u>40</u>
<u>10</u>

DEFENSE LOGISTICS AGENCY

MAJOR OPERATING ACTIVITY

DCAS Region - Boston

SUBORDINATE ACTIVITIES:

<u>DCASMA's:</u>	<u>DCASPROs:</u>
Boston, MA	Ravtheon*
Hartford, CT*	G.E. - Lynn
Bridgeport, CT*	Sanders
Rochester, NY	G.E. - Burlington
Burrato, NY	GTE-Sylvania
Binghampton, NY*	
Syracuse, NY	

*Also oversees one major residency (20 or more personnel)

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
<u>Procurement and Contract Admin:</u>	<u>3642</u>
Contract Administration**	2252
Quality Assurance**	630
Production**	540
Contract Compliance*	120
Industrial Security*	120
<u>Comptroller Services:</u>	<u>900</u>
Systems Management	20
Budget	10
Accounting and Finance	600
Data Processing	10
Contract Data	260
<u>Personnel Management & Payrolls:</u>	<u>40</u>
Safety and Health	10

AUDIT WORKLOAD (CONTINUED)

FUNCTIONAL GROUPING

MAN-DAY
REQUIREMENTS

Payroll and Classification	10
Employee Development	10
Equal Employment Opportunity	10
Support Services:	200
Office of Planning & Management	100
Office of Counsel	10
Telecommunication***	40
Administrative Management***	20
Logistical Support***	10
Special Command Staff	20

* Function also at all DCASMAS

** Function also at all DCASMAS
and DCASPROs

*** Function also at most DCASMAS

Non-Appropriated Funds:

Post Restaurant	20
Civilian Welfare Fund	5
Military Morale Fund	1

DEFENSE LOGISTICS AGENCY

MAJOR OPERATING ACTIVITY

DCAS Region - Cleveland

SUBORDINATE ACTIVITIES:

DCASMA's:

Cleveland, OH
Cincinnati, OH
Dayton, OH
Detroit, MI
Ottawa, CAN
Grand Rapids, MI
DCASPRO:
Gould

X X

AUDIT WORKLOAD

FUNCTIONAL GROUPING

MAN-DAY REQUIREMENTS

<u>Procurement and Contract Admin:</u>	<u>2428</u>
Contract Administration**	1488
Quality Assurance**	420
Production**	360
Contract Compliance*	80
Industrial Security*	80
<u>Comptroller Services:</u>	<u>900</u>
Systems Management	20
Budget	10
Accounting and Finance	600
Data Processing	10
Contract Data	260
<u>Personnel Management & Payrolls:</u>	<u>40</u>
Safety and Health	10

AUDIT WORKLOAD (CONTINUED)

FUNCTIONAL GROUPING

MAN-DAY
REQUIREMENTS

Payroll and Classification	10
Employee Development	10
Equal Employment Opportunity	10
Support Services:	<u>200</u>
Office of Planning & Management	100
Office of Counsel	10
Telecommunication***	40
Administrative Management***	20
Logistical Support***	10
Special Command Staff	20

* Function also at all DCASMAS

** Function also at all DCASMAS
and DCASPROs

*** Function also at most DCASMAS

Non-Appropriated Funds:

Post Restaurant

Civilian Welfare Fund

Military Morale Fund

20

20

5

1

DEFENSE LOGISTICS AGENCY

MAJOR OPERATING ACTIVITY DCASR - Dallas

SUBORDINATE ACTIVITIES:

DCASMs:

- _____
Dallas, TX
- _____
Oklahoma City, OK
- _____
San Antonio, TX
- _____
Phoenix, AL

DCASPROs:

- _____
Texas Instruments
- _____
E-Systems
- _____
- _____
- _____

X X

AUDIT WORKLOAD

FUNCTIONAL GROUPING

MAN-DAY
REQUIREMENTS

<u>Procurement and Contract Admin:</u>	<u>2428</u>
<u>Contract Administration**</u>	<u>1488</u>
<u>Quality Assurance**</u>	<u>420</u>
<u>Production**</u>	<u>560</u>
<u>Contract Compliance*</u>	<u>80</u>
<u>Industrial Security*</u>	<u>80</u>
<u>Comptroller Services:</u>	<u>900</u>
<u>Systems Management..</u>	<u>20</u>
<u>Budget</u>	<u>10</u>
<u>Accounting and Finance</u>	<u>600</u>
<u>Data Processing</u>	<u>10</u>
<u>Contract Data</u>	<u>260</u>
<u>Personnel Management & Payrolls:</u>	<u>40</u>
<u>Safety and Health</u>	<u>10</u>

AUDIT WORKLOAD (CONTINUED)

FUNCTIONAL GROUPING

MAN-DAY
REQUIREMENTS

Payroll and Classification	10
Employee Development	10
Equal Employment Opportunity	10
Support Services:	200
Office of Planning & Management	100
Office of Counsel	10
Telecommunication***	40
Administrative Management***	20
Logistical Support***	10
Special Command Staff	20

* Function also at all DCASMAS

** Function also at all DCASMAS
and DCASPROs

*** Function also at most DCASMAS

Non-Appropriated Funds:

Post Restaurant

20

Civilian Welfare Fund

5

Military Morale Fund

1

DEFENSE LOGISTICS AGENCY

MAJOR OPERATING ACTIVITY

DCASR - New York

SUBORDINATE ACTIVITIES:

- DCASMAS:
- New York, NY
- Garden City, NY*
- Springfield, NJ
- DCASPROs:
- PRO Electronics
- ITT
- Bendix
- Curtis-Wright
- Singer
- *Also oversees one major residency

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
<u>Procurement and Contract Admin:</u>	<u>3035</u>
<u>Contract Administration**</u>	<u>1860</u>
<u>Quality Assurance**</u>	<u>525</u>
<u>Production**</u>	<u>450</u>
<u>Contract Compliance*</u>	<u>100</u>
<u>Industrial Security*</u>	<u>100</u>
<u>Comptroller Services:</u>	<u>900</u>
<u>Systems Management</u>	<u>20</u>
<u>Budget</u>	<u>10</u>
<u>Accounting and Finance</u>	<u>600</u>
<u>Data Processing</u>	<u>10</u>
<u>Contract Data</u>	<u>260</u>
<u>Personnel Management & Payrolls:</u>	<u>40</u>
<u>Safety and Health</u>	<u>10</u>

AUDIT WORKLOAD (CONTINUED)

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
Payroll and Classification	10
Employee Development	10
Equal Employment Opportunity	10
Support Services:	200
Office of Planning & Management	100
Office of Counsel	10
Telecommunication***	40
Administrative Management***	20
Logistical Support***	10
Special Command Staff	20
* Function also at all DCASMAS	
** Function also at all DCASMAS and DCASPROs	
*** Function also at most DCASMAS	
Non-Appropriated Funds:	26
Post Restaurant	20
Civilian Welfare Fund	5
Military Morale Fund	1

DEFENSE LOGISTICS AGENCY

MAJOR OPERATING ACTIVITY DCAS Region - Philadelphia

SUBORDINATE ACTIVITIES:

DCASMA's:

- Philadelphia, PA
- Reading, PA
- Pittsburgh, PA
- Baltimore, MD
-
-
-
-
-
-

X X

AUDIT WORKLOAD

FUNCTIONAL GROUPING

MAN-DAY REQUIREMENTS

	<u>2428</u>
<u>Procurement and Contract Admin:</u>	
<u>Contract Administration**</u>	<u>1488</u>
<u>Quality Assurance**</u>	<u>420</u>
<u>Production**</u>	<u>360</u>
<u>Contract Compliance*</u>	<u>80</u>
<u>Industrial Security*</u>	<u>80</u>
<u>Comptroller Services:</u>	<u>270</u>
<u>Systems Management</u>	<u>10</u>
<u>Budget</u>	
<u>Accounting and Finance</u>	
<u>Data Processing</u>	
<u>Contract Data</u>	<u>250</u>
<u>Personnel Management & Payrolls:</u>	<u>See DPSC</u>
<u>Safety and Health</u>	

AUDIT WORKLOAD (CONTINUED)

FUNCTIONAL GROUPING

MAN-DAY REQUIREMENTS

Payroll and Classification	
Employee Development	
Equal Employment Opportunity	
Support Services:	<u>120</u>
Office of Planning & Management	100
Office of Counsel	10
Telecommunication***	} see DPSC
Administrative Management***	
Logistical Support***	} 10
Special Command Staff	
* Function also at all DCASMAS	
** Function also at all DCASMAS and DCASPROS	
*** Function also at most DCASMAS	
Non-Appropriated Funds:	See DPSC
Post Restaurant	
Civilian Welfare Fund	
Military Morale Fund	

DEFENSE LOGISTICS AGENCY

MAJOR OPERATING ACTIVITY

DCAS Region - St. Louis

SUBORDINATE ACTIVITIES:

DCASMAS:

DCASPROS:

*Also one major residency

X X

AUDIT WORKLOAD

FUNCTIONAL GROUPING

MAN-DAY REQUIREMENTS

<u>Procurement and Contract Admin:</u>	3035
Contract Administration**	1860
Quality Assurance**	525
Production**	450
Contract Compliance*	100
Industrial Security*	100
<u>Comptroller Services:</u>	900
Systems Management	20
Budget	10
Accounting and Finance	600
Data Processing	10
Contract Data	260
<u>Personnel Management & Payrolls:</u>	40
Safety and Health	10

ACTIVITY: NATIONAL SECURITY AGENCY

WORKLOAD AND MANPOWER
REQUIREMENTS COMPUTATIONS

Direct man-days required	<u>26,391</u>
Direct man-years required (@ 260 man-days)	<u>102</u>
Annual Workload (man-years) (2-year cycle)	<u>51</u>
Total Personnel Required (Based on 75-25 Direct-Indirect Ratio)	<u>68</u>

AUDIT WORKLOAD (CONTINUED)

FUNCTIONAL GROUPING

MAN - DAY
REQUIREMENTS

<u>Program/Budget Formulation</u>	
N2	190
R&E Staff R&D Operations..	114
Telecommunications	76
COMSEC	76
Production	114
Total	<u>1,653</u>
<u>MANAGEMENT OF MAINTENANCE & REPAIRS (M&R)</u>	
Production Maintenance Management	152
COMSEC Maintenance	114
Telecommunications Maintenance	152
ADPE Maintenance	152
Total	<u>570</u>
<u>MANAGEMENT OF REAL & INSTALLED PROPERTY</u>	
Total	152
<u>PROCUREMENT AND CONTRACT ADMINISTRATION</u>	
Contract Management & Procurement Practice	228
R&D Procurement	283
COMSEC Procurement	228
Systems Procurement	228
Procurement of ADPE	228
General Procurement	228
Contractor Support Services	76
Consultant Services	38
Total	<u>1,537</u>
<u>PERSONNEL MANAGEMENT & PAYROLLS</u>	
Civilian Payroll	228
Personnel Management	380
Administration	
Supergrades	
Hiring Practices	
Allocation & Control of Personnel Resources	
Position Classification	
Manpower Standards	
Military Personnel	
Total	<u>608</u>
<u>NONAPPROPRIATED FUND ACTIVITIES</u>	
Insurance Association	19
Restaurant	57
Welfare Fund	57
Total	<u>133</u>

AUDIT WORKLOAD (CONTINUED)

<u>FUNCTIONAL GROUPING</u>	<u>MAN - DAY REQUIREMENTS</u>
<u>SUPPORT SERVICES</u>	
Armed Forces Courier Service	57
Property Disposal (SIGINT, COMSEC, Admin)	57
Medical Center	152
Training	
NSA School	500
SCAs	912
Magnetic Tape Management	114
Library	38
Total	1,830
<u>MANUFACTURING</u>	
Printing and Reproduction	57
COMSEC Aids Production	114
Total	171
<u>RESEARCH & DEVELOPMENT</u>	
COMSEC R&D	266
SIGINT R&D (NSA/CSS Portion of Intsvc Audit)	750
Model Engineering	57
TCOM R&D	57
ADPE R&D	57
Total	1,187
<u>AUTOMATIC DATA PROCESSING SYSTEMS</u>	
General ADP Administration & Support	152
Software	190
Utilization	152
Remote Terminals	114
Core Storage	152
Tape Units	114
Peripheral Storage	114
SHERMAN	190
RUSHER	190
COINS	190
TIDE	114
HOLDER	190
370/168	190
TABLON	190
RYE	190
SWINGER	152
VARNISH	152
OMNIBUS	190
NSOC	114
TCOM	114
Total	3,154

AUDIT WORKLOAD (CONTINUED)

FUNCTIONAL GROUPING

MAN - DAY
REQUIREMENTS

MILITARY ASSISTANCE PROGRAM (MAP)	120
Total	120
<u>COMMUNICATIONS</u>	
TCOM Management & Operations	304
AUTOVON	114
CRITICOM	152
OPSCOM	190
Commercial Communication (Billing & Payments)	114
Total	874
<u>TRANSPORTATION</u>	
Motor Pool	76
Commercial Transportation	76
Total	152
<u>INTELLIGENCE & SECURITY</u>	
ECRI	570
ASRP	456
Tactical Airborne Reconnaissance	570
FROSTING	380
Telemetry (SMAC) (Overall)	456
Classified	456
Classified	190
Classified	190
Classified	456
Classified	912
FLINT	570
SIGINT Processing	627
Management & Utilization of IDA Products	57
Compartmented Areas (Need/Justification Duplication)	190
Product Reporting - Distribution & Use	342
Authentication Devices for Nuclear Control Orders	114
FLEXSCOP	456
MAROON SHIELD	380
DF - BULLSEYE, OUTBOARD, AIRBORNE, SSL	570
Implementation of National COMSEC Policy	380
TEMPEST	380
Total	8,702

ACTIVITY: DEFENSE MAPPING AGENCY

WORKLOAD AND MANPOWER
REQUIREMENTS COMPUTATIONS

Direct man-days required	<u>14,565</u>
Direct man-years required (@ 260 man-days)	<u>56</u>
Annual Workload (man-years) (2-year cycle)	<u>28</u>
Total Personnel Required (Based on 75-25 Direct-Indirect Ratio)	<u>37</u>

DEFENSE LOGISTICS AGENCY

RECAP

MAJOR ACTIVITY Defense Mapping Agency

NUMBER OF OPERATING ACTIVITIES 5

PERSONNEL 7,900

ANNUAL APPROPRIATION \$221.6 Million

OTHER MISSION WORKLOAD FACTORS:

Research and Development \$17.3 million

Procurement \$13.6 million

X X

AUDIT WORKLOAD

FUNCTIONAL GROUPING

MAN-DAY REQUIREMENTS

<u>Supply Management</u>	<u>920</u>
<u>Comptroller Services</u>	<u>1480</u>
<u>Maintenance and Repair</u>	<u>480</u>
<u>Management of Real & Installed Prop.</u>	<u>320</u>
<u>Procurement and Contract Admin.</u>	<u>210</u>
<u>Personnel Management and Payrolls</u>	<u>710</u>
<u>Nonappropriated Funds</u>	<u>125</u>
<u>Support services</u>	<u>250</u>
<u>Manufacturing</u>	<u>4220</u>
<u>Research & Development</u>	<u>400</u>
<u>Automatic Data Processing</u>	<u>1590</u>
<u>Military Assistance Program</u>	<u>280</u>
<u>Communications</u>	<u>450</u>
<u>Transportation</u>	<u>300</u>
<u>Intelligence & Security</u>	<u>310</u>
<u>Direct Time</u>	<u>2520</u>
<u>Grand Total</u>	<u>14565</u>

DEFENSE MAPPING AGENCY

MAJOR OPERATING ACTIVITY Aerospace Center

SUBORDINATE ACTIVITIES:

X X

AUDIT WORKLOAD

FUNCTIONAL GROUPING

MAN-DAY REQUIREMENTS

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
SUPPLY MANAGEMENT	
Inventory Management	80
Expendable Stock Account/Stock Fund	30
Equipment Accountability & Reporting	
Cartographic	40
Photographic	25
Printing	40
Property Disposal	50
Silver recovery	30
Recycling	40
Subtotal - Supply Management	335
_____	_____
_____	_____
_____	_____

AUDIT WORKLOAD (CONTINUED)

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
<u>COMPTROLLER SERVICES</u>	
<u>Appropriation & Fund Accounting</u>	<u>140</u>
<u>Stock fund accounting</u>	<u>40</u>
<u>Industrial fund accounting</u>	
<u>Monetary property accounting</u>	<u>40</u>
<u>General ledger/cost accounting</u>	<u>60</u>
<u>Programming/budgeting</u>	<u>140</u>
<u>Disbursing</u>	
<u>Travel</u>	<u>30</u>
<u>Imprest Fund</u>	<u>30</u>
<u>Reimbursable Sales</u>	<u>60</u>
<u>Subtotal</u>	<u>540</u>
<u>MAINTENANCE AND REPAIR</u>	
<u>Equipment maintenance & repair</u>	
<u>Cartographic</u>	<u>40</u>
<u>Photographic</u>	<u>30</u>
<u>Printing</u>	<u>30</u>
<u>Geodetic</u>	<u>10</u>
<u>Automatic data processing</u>	<u>20</u>
<u>Motor Vehicle maintenance</u>	<u>40</u>
<u>Subtotal</u>	<u>170</u>
<u>MANAGEMENT OF REAL AND INSTALLED PROPERTY</u>	
<u>Major and minor construction</u>	<u>30</u>
<u>Utilities</u>	<u>30</u>
<u>Facilities engineer activity</u>	<u>50</u>
<u>Custodial services</u>	<u>30</u>
<u>Subtotal</u>	<u>140</u>
<u>PRODUCTION AND CONTRACT ADMINISTRATION</u>	
<u>Small purchases (including imprest funds and blanket purchases agreements)</u>	<u>30</u>
<u>Purchasing and contracting activities</u>	<u>50</u>
<u>SubTotal</u>	<u>80</u>
<u>PERSONNEL MANAGEMENT AND PAYROLLS</u>	
<u>Civilian payroll and timekeeping</u>	<u>80</u>
<u>Military personnel management</u>	<u>20</u>
<u>Civilian personnel management (includes manpower control and analysis, organization administration, grade structure hiring practices, position classification and manpower standards</u>	<u>120</u>
<u>Technical and Administrative training</u>	<u>80</u>
<u>SubTotal</u>	<u>260</u>

AUDIT WORKLOAD (CONTINUED)

<u>FUNCTIONAL GROUPING</u>	<u>MAN - DAY REQUIREMENTS</u>
<u>NONAPPROPRIATED FUNDS</u>	
Officers mess	
Restaurant	20
Welfare	30
Subtotal	50
<u>SUPPORT SERVICES</u>	
Public affairs office	15
Libraries	30
Office copiers	30
Audio/visual	20
Subtotal	95
<u>MANUFACTURING</u>	
Product Requirements (includes aeronautical topographic, digital and missile and target support)	320
Geodetic and Hydrographic Survey Collection Requirements	80
<u>PRODUCTION</u>	
Programing and workload standards	80
Map and chart production and maintenance (includes contractors and field offices)	300
Geodetic and Hydrographic Surveys	80
Missile and target production	280
Flight information publication and Notices	180
Notice to Mariners	180
Printing operations	120
Storage, distribution and inventory control (includes ICP at AMATC, depots subdepots and field offices)	160
Subtotal	1,780
<u>RESEARCH AND DEVELOPMENT</u>	
Automatic Cartography	80
Services Activities	
Subtotal	80
<u>AUTOMATIC DATA PROCESSING (Includes general ADP admin. & support, scientific and business software, control and utilization of 4 UNIVAC 1108 systems, 2 Burroughs 3500 systems, minicomputers, tape libraries peripheral storage equipment acquisition and reporting and security</u>	
	300

AUDIT WORKLOAD (CONTINUED)

FUNCTIONAL GROUPING

MAN-DAY
REQUIREMENTS

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
<u>MANAGEMENT INFORMATION SYSTEMS</u>	
Program Management (DMIS/P)	60
Financial Management (DMIS/F)	50
Equipment Procurement (DMIS/E)	40
Support Management (DMIS/S)	50
R&D Management (DMIS/R)	40
Defense Automated Depot Mgm Sys (DADMS)	60
Subtotal	600
<u>MILITARY ASSISTANCE PROGRAM (incl IAGS)</u>	
Bilateral Mapping Agreements, Arrange- ments and Man Exchange Program	50
Subtotal	70
<u>COMMUNICATIONS</u>	
Commercial Communication (billing & payment)	50
Autovon	40
Autodin	40
Telecopiers and other special Equip	40
Subtotal	170
<u>TRANSPORTATION</u>	
Motor pool	50
Commercial transportation	60
Subtotal	110
<u>INTELLIGENCE AND SECURITY</u>	
Physical Plant Security	60
Personnel Identification	50
Subtotal	110
<u>OTHER DIRECT TIME</u>	
Supervision and Support of Field Activities	50
Kansas City	
Providence	
Louisville	
San Antonio	
Geodetic Survey Squadron	60
Cartographic Technical Squadron	80
Flight Information Offices	
Alaska	20
Panama	20
Hawaii (Subdepot)	50
Germany	20
Molesworth U.K. (subdepot)	40
Depots:	
Clearfield	
Philadelphia	

AUDIT WORKLOAD (CONTINUED)

FUNCTIONAL GROUPING

MAN-DAY
REQUIREMENTS

FIELD OFFICES

San Diego

Norfolk

Atsugi, Japan

Jacksonville

Cubi Point, Phillipine Is

Naples

Defense Mapping School

Service MC&G Training

Inter-American Geodetic Survey
(Including 16 field offices)

Service MC&G Activities

Subtotal - Other

340

- Total

4,930

AUDIT WORKLOAD (CONTINUED)

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
<u>COMPTROLLER SERVICES</u>	
<u>Appropriation & Fund Accounting</u>	<u>120</u>
<u>Stock fund accounting</u>	<u>40</u>
<u>Industrial fund accounting</u>	
<u>Monetary property accounting</u>	<u>40</u>
<u>General ledger/cost accounting</u>	<u>60</u>
<u>Programming/budgeting</u>	<u>140</u>
<u>Disbursing</u>	
<u>Travel</u>	<u>30</u>
<u>Imprest Fund</u>	<u>30</u>
<u>Reimbursable Sales</u>	<u>40</u>
<u>Subtotal</u>	<u>480</u>
<u>MAINTENANCE AND REPAIR</u>	
<u>Equipment maintenance & repair</u>	
<u>Cartographic</u>	<u>40</u>
<u>Photographic</u>	<u>30</u>
<u>Printing</u>	<u>30</u>
<u>Geodetic</u>	<u>40</u>
<u>Automatic data processing</u>	<u>40</u>
<u>Motor vehicle maintenance</u>	<u>40</u>
<u>Subtotal</u>	<u>220</u>
<u>MANAGEMENT OF REAL AND INSTALLED PROPERTY</u>	
<u>Major and minor construction</u>	<u>30</u>
<u>Utilities</u>	<u>30</u>
<u>Facilities engineer activity</u>	<u>50</u>
<u>Custodial services</u>	<u>30</u>
<u>Subtotal</u>	<u>140</u>
<u>PRODUCEMENT AND CONTRACT ADMINISTRATION</u>	
<u>Small purchases (including imprest funds and blanket purchases agreements)</u>	<u>30</u>
<u>Purchasing and contracting activities</u>	<u>50</u>
<u>SubTotal</u>	<u>80</u>
<u>PERSONNEL MANAGEMENT AND PAYROLLS</u>	
<u>Civilian payroll and timekeeping</u>	<u>40</u>
<u>Military personnel management</u>	<u>20</u>
<u>Civilian personnel management (includes manpower control and analysis, organiza- tion administration, grade structure hiring practices, position classifica- tion and manpower standards</u>	<u>120</u>
<u>Technical and Administrative training</u>	<u>80</u>
<u>SubTotal</u>	<u>150</u>

AUDIT WORKLOAD (CONTINUED)

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
<u>NONAPPROPRIATED FUNDS</u>	
Officers mess	15
Restaurant	20
Welfare	30
Subtotal	65
<u>SUPPORT SERVICES</u>	
Public affairs office	15
Libraries	30
Office copiers	30
Audio/visual	20
Subtotal	95
<u>MANUFACTURING</u>	
Product Requirements (includes aeronautical topographic, digital and missile and target support)	350
Geodetic and Hydrographic Survey	150
Collection Requirements	180
<u>PRODUCTION</u>	
Programing and Workload standards	100
Map and chart production and maintenance (includes contractors and field offices)	380
Geodetic and Hydrographic Surveys	120
Missile and target production	
Flight information publication and Notices	
Notice to Mariners	
Printing operations	120
Storage, distribution and inventory control (includes ICP at AMATC, depots subdepots and field offices)	240
Subtotal	1640
<u>RESEARCH AND DEVELOPMENT</u>	
Automatic Cartography	80
Services Activities	200
Subtotal	280
<u>AUTOMATIC DATA PROCESSING (Includes general ADP admin & support, scientific and business software, control and utilization of 4 UNIVAC 1108 systems, 2 Burroughs 3500 systems, minicomputers, tape libraries peripheral storage equipment acquisition and reporting and security</u>	
	300

AUDIT WORKLOAD (CONTINUED)

FUNCTIONAL GROUPING

MAN-DAY
REQUIREMENTS

MANAGEMENT INFORMATION SYSTEMS

Program Management (DMIS/P)	60
Financial Management (DMIS/F)	50
Equipment Procurement (DMIS/E)	40
Support Management (DMIS/S)	50
R&D Management (DMIS/R)	40
Defense Automated Depot Mgm Sys (DADMS)	100
Subtotal	640

MILITARY ASSISTANCE PROGRAM (incl IAGS)

Bilateral Mapping Agreements, Arrangements and Man Exchange Program	60
Subtotal	140

COMMUNICATIONS

Commercial Communication (billing & payment)	50
Autovon	40
Autodin	40
Telecopiers and other special Equip	50
Subtotal	180

TRANSPORTATION

Motor pool	50
Commercial transportation	60
Subtotal	110

INTELLIGENCE AND SECURITY

Physical Plant Security	80
Personnel Identification	60
Subtotal	140

OTHER DIRECT TIME

Supervision and Support of Field Activities	60
Kansas City	60
Providence	60
Louisville	60
San Antonio	60
Geodetic Survey Squadron	
Cartographic Technical Squadron	
Flight Information Offices	
Alaska	
Panama	
Hawaii (Subdepot)	20
Germany	
Molesworth U.K. (Subdepot)	20
Depots:	
Clearfield	30
Philadelphia	30

AUDIT WORKLOAD (CONTINUED)

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
<u>COMPTROLLER SERVICES</u>	
<u>Appropriation & Fund Accounting</u>	110
<u>Stock fund accounting</u>	30
<u>Industrial fund accounting</u>	
<u>Monetary property accounting</u>	30
<u>General ledger/cost accounting</u>	40
<u>Programming/budgeting</u>	130
<u>Disbursing</u>	
<u>Travel</u>	20
<u>Imprest Fund</u>	20
<u>Reimbursable Sales</u>	80
<u>Subtotal</u>	460
<u>MAINTENANCE AND REPAIR</u>	
<u>Equipment maintenance & repair</u>	
<u>Cartographic</u>	30
<u>Photographic</u>	20
<u>Printing</u>	30
<u>Geodetic</u>	
<u>Automatic data processing</u>	
<u>Motor vehicle maintenance</u>	10
<u>Subtotal</u>	90
<u>MANAGEMENT OF REAL AND INSTALLED PROPERTY</u>	
<u>Major and minor construction</u>	
<u>Utilities</u>	
<u>Facilities engineer activity</u>	20
<u>Custodial services</u>	20
<u>Subtotal</u>	40
<u>PRODUCEMENT AND CONTRACT ADMINISTRATION</u>	
<u>Small purchases (including imprest funds and blanket purchases agreements)</u>	20
<u>Purchasing and contracting activities</u>	30
<u>SubTotal</u>	50
<u>PERSONNEL MANAGEMENT AND PAYROLLS</u>	
<u>Civilian payroll and timekeeping</u>	20
<u>Military personnel management</u>	10
<u>Civilian personnel management (includes manpower control and analysis, organiza- tion administration, grade structure hiring practices, position classifica- tion and manpower standards</u>	80
<u>Technical and Administrative training</u>	40
<u>SubTotal</u>	300

AUDIT WORKLOAD (CONTINUED)

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>	
<u>NONAPPROPRIATED FUNDS</u>		
Officers mess		
Restaurant		
Welfare	10	
Subtotal	10	
<u>SUPPORT SERVICES</u>		
Public affairs office	10	
Libraries	20	
Office copiers	20	
Audio/visual	10	
Subtotal	60	
<u>MANUFACTURING</u>		
Product Requirements (includes aeronautical topographic, digital and missile and target support)	140	
Geodetic and Hydrographic Survey	60	
Collection Requirements	40	
<u>PRODUCTION</u>		
Programming and workload standards	40	
Map and chart production and maintenance (includes contractors and field offices)	140	
Geodetic and Hydrographic Surveys	80	
Missile and target production		
Flight information publication and Notices Notice to Mariners		
Printing operations	80	
Storage, distribution and inventory control (includes ICP at AMATC, depots subdepots and field offices)	220	
Subtotal	800	
<u>RESEARCH AND DEVELOPMENT</u>		
Automatic Cartography	40	
Services Activities		
Subtotal	40	
<u>AUTOMATIC DATA PROCESSING (Includes general ADP admin & support, scientific and business software, control and utilization of 4 UNIVAC 1108 systems, 2 Burroughs 3500 systems, minicomputers, tape libraries peripheral storage equipment acquisition and reporting and security</u>		140

AUDIT WORKLOAD (CONTINUED)

FUNCTIONAL GROUPING

MAN-DAY
REQUIREMENTS

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
<u>MANAGEMENT INFORMATION SYSTEMS</u>	
Program Management (DMIS/P)	30
Financial Management (DMIS/F)	20
Equipment Procurement (DMIS/E)	20
Support Management (DMIS/S)	20
R&D Management (DMIS/R)	20
Defense Automated Depot Mgm Sys (DADMS)	100
Subtotal	350
<u>MILITARY ASSISTANCE PROGRAM (incl IAGS)</u>	
Bilateral Mapping Agreements, Arrangements and Man Exchange Program	70
Subtotal	70
<u>COMMUNICATIONS</u>	
Commercial Communication (billing & payment)	30
Autovon	20
Autodin	20
Telecopiers and other special Equip	30
Subtotal	100
<u>TRANSPORTATION</u>	
Motor pool	
Commercial transportation	80
Subtotal	80
<u>INTELLIGENCE AND SECURITY</u>	
Physical Plant Security	30
Personnel Identification	30
Subtotal	60
<u>OTHER DIRECT TIME</u>	
Supervision and Support of Field Activities	60
Kansas City	
Providence	
Louisville	
San Antonio	
Geodetic Survey Squadron	
Cartographic Technical Squadron	
Flight Information Offices	
Alaska	
Panama	
Hawaii (Subdepot)	
Germany	
Molesworth U.K. (subdepot)	
Depots:	
Clearfield	60
Philadelphia	60

ACTIVITY: DEFENSE COMMUNICATIONS AGENCY

WORKLOAD AND MANPOWER
REQUIREMENTS COMPUTATIONS

Direct man-days required	<u>10,200</u>
Direct man-years required (@ 260 man-days)	<u>39</u>
Annual Workload (man-years) (2-year cycle)	<u>20</u>
Total Personnel Required (Based on 75-25 Direct-Indirect Ratio)	<u>26</u>

AUDIT WORKLOAD (CONTINUED)

<u>FUNCTIONAL GROUPING</u>	<u>MAN - DAY REQUIREMENTS</u>
SUPPLY MANAGEMENT	
Requirements	100
Inventory Controls	50
Excess Material	50
SUB TOTAL	200
COMPTROLLER SERVICES	
Admin. Control of Funds	200
Appropriation Accounting	100
Budget Formulation	150
Reports Management	50
Travel Procedures & Expenses	50
Imprest Fund	40
Management Information Services	110
SUB TOTAL	700
PROCUREMENT AND CONTRACT ADMIN.	
Sole Source Procurements	75
Technical Admin.	100
Negotiated Procurements	100
Competitive Procurements	100
Service Contracts	100
SUB TOTAL	475
PERSONNEL MANAGEMENT & PAYROLLS	
Leave Administration	50
Payroll Controls	100
Timekeeping	50
Classification/Grade Controls	40
SUB TOTAL	240
SUPPORT SERVICES	
Library Services	25
Security	25
Public Works (remb.)	25
Other Miscellaneous	25
SUB TOTAL	100
AUTOMATIC DATA PROCESSING	
Lease vs. Procurement Analysis	50
CPU Utilization	100
Peripheral Utilization	75
Software Controls	100
Security	75
Output Analysis	50
SUB TOTAL	450

DEFENSE COMMUNICATIONS AGENCY

MAJOR OPERATING ACTIVITY Defense Commercial Communications

Office (DECCO)

SUBORDINATE ACTIVITIES:

None.

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
Comptroller	
<u>Appropriation Acct & Industrial Fund</u>	<u>40</u>
<u>Budget Formulation</u>	<u>100</u>
<u>Communication Services IF (Includes DCA Subscriber Rate Sitting Function)</u>	<u>450</u>
<u>Data Automation</u>	<u>170</u>
<u>Procurement and Contract Admin (Includes AUTOVON/AUTODIN)</u>	<u>1000</u>
<u>Plans and Program Directorate (DCA)</u>	<u>100</u>
<u>Commercial Comm Policy Dir (DCA)</u>	<u>100</u>
<u>Systems Engineering Dir (DCA)</u>	<u>40</u>
<u>DCA Allocation & Engineering Dir.</u>	<u>40</u>
<u>DSCS</u>	<u>250</u>
<u>DECCO Planning/Mct Div (Includes Rates & Tariff; Studies & Analysis Branches)</u>	<u>210</u>
<u>TOTAL</u>	<u>2500</u>

ACTIVITY: DEFENSE NUCLEAR AGENCY

WORKLOAD AND MANPOWER
REQUIREMENTS COMPUTATIONS

Direct man-days required	<u>7,500</u>
Direct man-years required (@ 260 man-days)	<u>28</u>
Annual Workload (man-years) (2-year cycle)	<u>14</u>
Total Personnel Required (Based on 75-25 Direct-Indirect Ratio)	<u>19</u>

DEFENSE NUCLEAR AGENCY

RECAP

MAJOR ACTIVITY Defense Nuclear Agency

NUMBER OF OPERATING ACTIVITIES 1

PERSONNEL 1,164

ANNUAL APPROPRIATION \$202 million

OTHER MISSION WORKLOAD FACTORS:

\$22.5 million - Operations & Maintenance
\$178.6 million - Research, Development,
Test and Evaluation

X X

AUDIT WORKLOAD

FUNCTIONAL GROUPING

MAN-DAY REQUIREMENTS

<u>Comptroller</u>	<u>900</u>
<u>Plans & Operations</u>	<u>1,400</u>
<u>Manpower & Management Assistance</u>	<u>50</u>
<u>Nuclear Weapons Testing</u>	<u>300</u>
<u>Logistics</u>	<u>2,150</u>
<u>Support Services</u>	<u>700</u>
<u>ADP Operations</u>	<u>200</u>
<u>Procurement</u>	<u>500</u>
<u>Scientific Offices</u>	<u>450</u>
<u>Personnel & Administration</u>	<u>250</u>
<u>Johnston Atoll (Test Site)</u>	<u>50</u>
<u>Enewetak Atoll (Test Site)</u>	<u>50</u>
<u>AFRRI - Medical Research</u>	<u>500</u>
<u>TOTAL</u>	<u>7,500</u>

DEFENSE NUCLEAR AGENCY

MAJOR OPERATING ACTIVITY HQ Defense Nuclear Agency

SUBORDINATE ACTIVITIES: _____

None.

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
Comptroller	
Program/Budget Office	75
Unliquidated Obligations	200
Property Accountability	50
Managemment Info & Analysis	50
Confidential Funds	25
Plans & Operations	600
Logistics	
Nuclear Weapons Reporting	200
EDT&E Capital Equipment	100
Nuclear Weapons Spare Parts	150

AUDIT WORKLOAD (CONTINUED)

FUNCTIONAL GROUPING

MAN - DAY
REQUIREMENTS

<u>Support Services</u>	
<u>Equipment & Supply Requirements</u>	<u>100</u>
<u>Security Administration</u>	<u>100</u>
<u>Management of Real Property</u>	<u>100</u>
<u>ADP Operation</u>	<u>200</u>
<u>Procurement</u>	<u>300</u>
<u>Scientific Offices</u>	
<u>Radiation</u>	<u>150</u>
<u>Shock Physics</u>	<u>150</u>
<u>Vulnerability</u>	<u>150</u>
<u>Personnel & Administration</u>	<u>250</u>
<u>TOTAL</u>	<u>2,950</u>

DEFENSE NUCLEAR AGENCY

MAJOR OPERATING ACTIVITY Field Command, Defense Nuclear Agency

SUBORDINATE ACTIVITIES:

None

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
Comptroller	
Program/Budget Office	100
Unliquidated Obligations	200
Travel & Imprest Funds	50
Property Accountability	50
Management Info & Analysis	100
Manpower & Management Assistance	50
Nuclear Weapons Testing	300
Plans & Operations	300
Logistics	

DEFENSE NUCLEAR AGENCY

MAJOR OPERATING ACTIVITY Armed Forces Radiobiology Research

Institute

SUBORDINATE ACTIVITIES: _____

NONE

X X

AUDIT WORKLOAD

FUNCTIONAL GROUPING

MAN-DAY REQUIREMENTS

Medical Research

500

ACTIVITY: DEFENSE INTELLIGENCE AGENCY

WORKLOAD AND MANPOWER
REQUIREMENTS COMPUTATIONS

Direct man-days required	<u>7,435</u>
Direct man-years required (@ 260 man-days)	<u>28</u>
Annual Workload (man-years) (2-year cycle)	<u>14</u>
Total Personnel Required (Based on 75-25 Direct-Indirect Ratio)	<u>19</u>

DEFENSE INTELLIGENCE AGENCY

RECAP

MAJOR ACTIVITY Defense Intelligence Agency

NUMBER OF OPERATING ACTIVITIES _____

PERSONNEL 4,400

ANNUAL APPROPRIATION \$250 million

OTHER MISSION WORKLOAD FACTORS:

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
Comptroller	435
Procurement & Contract Adm	300
Personnel Management & Payrolls	275
Support Services	440
Automatic Data Processing	265
Communications	400
Intelligence and Security	5,200
Nonappropriated Funds	20
<u>Total</u>	<u>7,435</u>

DEFENSE INTELLIGENCE AGENCY

MAJOR OPERATING ACTIVITY _____

SUBORDINATE ACTIVITIES:

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
<u>Comptroller</u>	
Unliquidated Obligations	125
Financial Accounting & Reporting	50
Contingency Funds	75
Imprest Fund	5
Travel	30
Program Budget	150
<u>Procurement and Contract Adm</u>	
Procurement	125
Contract Administration	175
<u>Personnel Management & Payrolls</u>	
Manpower Requirements	75
Personnel & Career Management	50
Military & Civilian Payrolls	100
Training	50

AUDIT WORKLOAD (CONTINUED)

<u>FUNCTIONAL GROUPING</u>	<u>MAN - DAY REQUIREMENTS</u>
<u>Support Services</u>	
<u>Printing & Reproduction</u>	<u>100</u>
<u>Counterintelligence Operations</u>	<u>100</u>
<u>Administrative Security</u>	<u>40</u>
<u>Property Accountability</u>	<u>75</u>
<u>Interservice Support Agreements</u>	<u>25</u>
<u>Energy Conservation</u>	<u>50</u>
<u>Library Services</u>	<u>25</u>
<u>Engineering and Space Management</u>	<u>25</u>
<u>Automatic Data Processing</u>	
<u>ADP Requirements</u>	<u>75</u>
<u>Management Information Svstems</u>	<u>125</u>
<u>ADP Operations</u>	<u>125</u>
<u>ADP Security</u>	<u>40</u>
<u>Communications</u>	
<u>Special Intelligence Communications</u>	<u>200</u>
<u>DIA Comm Facility - New York</u>	<u>50</u>
<u>Communications Distribution</u>	<u>25</u>
<u>COMSEC</u>	<u>50</u>
<u>Requirements</u>	<u>75</u>
<u>Intelligence and Security</u>	
<u>Defense Attache Operations</u>	<u>600</u>
<u>Defense Intelligence School</u>	<u>250</u>
<u>Intelligence Data Handling Svstems</u>	<u>400</u>
<u>Intelligence Collection Requirements</u>	<u>300</u>
<u>Intelligence Production</u>	<u>400</u>
<u>HUMINT Collection</u>	<u>500</u>
<u>Imagery Collection</u>	<u>500</u>
<u>Scientific & Technical Intel Production</u>	<u>500</u>
<u>NMIC Operations</u>	<u>250</u>
<u>J-2 Support</u>	<u>100</u>
<u>Intelligence Research</u>	<u>400</u>
<u>Special Sensors Collection Svstems</u>	<u>200</u>
<u>Reserve Component Intel Activities</u>	<u>300</u>
<u>Analysis of Intelligence</u>	<u>500</u>
<u>Nonappropriated Fund</u>	
<u>Welfare Fund</u>	<u>20</u>

ACTIVITY: DEFENSE CONTRACT AUDIT AGENCY

WORKLOAD AND MANPOWER
REQUIREMENTS COMPUTATIONS

Direct man-days required	<u>3,150</u>
Direct man-years required (@ 260 man-days)	<u>12</u>
Annual Workload (man-years) (4-year cycle)	<u>3</u>
Total Personnel Required (Based on 75-25 Direct-Indirect Ratio)	<u>4</u>

ACTIVITY: DEFENSE INVESTIGATIVE SERVICE

WORKLOAD AND MANPOWER
REQUIREMENTS COMPUTATIONS

Direct man-days required	<u>1,460</u>
Direct man-years required (@ 260 man-days)	<u>6</u>
Annual Workload (man-years) (2-year cycle)	<u>3</u>
Total Personnel Required (Based on 75-25 Direct-Indirect Ratio)	<u>4</u>

ACTIVITY: DEFENSE CIVIL PREPAREDNESS AGENCY

WORKLOAD AND MANPOWER
REQUIREMENTS COMPUTATIONS

Direct man-days required	<u>1,050</u>
Direct man-years required (@ 260 man-days)	<u>4</u>
Annual Workload (man-years) (2-year cycle)	<u>2</u>
Total Personnel Required (Based on 75-25 Direct-Indirect Ratio)	<u>3</u>

Audit Workload
Defense Civil Preparedness Agency

Personnel: Approximately 610 with 220 employees in D.C. and 390 in 8 regional offices, a staff college and an ADPE center.

FY 1977 Budget: \$83,454,000

Functional Grouping

Man Days

Mission Activities:

Warning and Detection

105

Emergency Operations

105

Financial Assistance to States:

280

Management

Emergency Operating Centers

Shelter Programs

175

Administration and Management

140

Research and Development

35

Regional Offices

210

Total Man Days

1,050

ACTIVITY: DEFENSE ADVANCED RESEARCH PROJECTS AGENCY

WORKLOAD AND MANPOWER
REQUIREMENTS COMPUTATIONS

Direct man-days required	<u>1,097</u>
Direct man-years required (@ 260 man-days)	<u>4</u>
Annual Workload (man-years) (2-year cycle)	<u>2</u>
Total Personnel Required (Based on 75-25 Direct-Indirect Ratio)	<u>3</u>

DEFENSE ADVANCED RESEARCH PROJECTS AGENCY

RECAP

MAJOR ACTIVITY Defense Advanced Research Projects Agency (DARPA)

NUMBER OF OPERATING ACTIVITIES 1

PERSONNEL 147

ANNUAL APPROPRIATION. FY 78 \$280.5 million, FY 77 \$239.4 million

OTHER MISSION WORKLOAD FACTORS:

Entire funding of the agency is from
the RDT&E appropriation. Military Services
perform the research work based on tasking
from DARPA

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
<u>Research and Development</u>	<u>692</u>
<u>Comptroller Services</u>	<u>300</u>
<u>Administrative Services</u>	<u>105</u>
<u>Total</u>	<u>1,097</u>

MAJOR OPERATING ACTIVITY Defense Advanced Research Projects Agency

SUBORDINATE ACTIVITIES:

- Cybernetics Technology Office
- Information Processing Techniques Office
- Materials Sciences Office
- Nuclear Monitoring Research Office
- Strategic Technology Office
- Tactical Technology Office
- Program Management Office
- Administrative Office
- Regional Office, Pacific
- Regional Office, Europe

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
<u>Research and Development</u>	
<u>Cybernetics Technology Office</u>	<u>27</u>
<u>Information Processing Techniques Office</u>	<u>100</u>
<u>Materials Sciences Office</u>	<u>60</u>
<u>Nuclear Monitoring Research Office</u>	<u>25</u>
<u>Strategic Technology Office</u>	<u>240</u>
<u>Tactical Technology Office</u>	<u>240</u>
<u>Subtotal Research and Development</u>	<u>692</u>
<u>Comptroller Services</u>	
<u>Appropriation Accounting</u>	<u>200</u>
<u>Program Management including Europe and Pacific Field Offices</u>	<u>100</u>
<u>Subtotal Comptroller Services</u>	<u>300</u>

ACTIVITY: OSD/OJCS

WORKLOAD AND MANPOWER
REQUIREMENTS COMPUTATIONS

Direct man-days required	<u>7,765</u>
Direct man-years required (@ 260 man-days)	<u>30</u>
Annual Workload (man-years) (2-year cycle)	<u>15</u>
Total Personnel Required (Based on 75-25 Direct-Indirect Ratio)	<u>20</u>

RECAP

MAJOR ACTIVITY Office of the Secretary of Defense
Organization of Joint Chiefs of Staff

NUMBER OF OPERATING ACTIVITIES 5

PERSONNEL Estimate 3,400

ANNUAL APPROPRIATION \$150 Million plus
 OTHER MISSION WORKLOAD FACTORS: CHAMPUS - \$635 Million
 Dependents'
 Education: - \$257 Million

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
OASD (Comptroller)	2,215
OJCS	140
CHAMPUS	1,350
AFRTS	1,470
Dependents Education	2,590
TOTAL	7,765

OFFICE, SECRETARY OF DEFENSE

MAJOR OPERATING ACTIVITY OASD(Comptroller)

SUBORDINATE ACTIVITIES:

Deputy Comptroller (Program/Budget)
DASD Management Svstems, including Data Automation
DASD Audit
DASD Administration
DASD Security Policy

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
<u>Administrative Control of Funds</u> <u>including:</u>	
<u>1311 Certification</u>	<u>100</u>
<u>Unliquidated Obligations &</u> <u>Unobligated Balances</u>	<u>100</u>
<u>Accounting Procedures & Controls</u>	<u>100</u>
<u>Data Automation</u>	<u>500</u>
<u>Military Banking Overseas</u>	<u>500</u>
<u>Program/Budget Formulation &</u> <u>Procedures</u>	<u>210</u>

MAJOR OPERATING ACTIVITY Organization of Joint Chiefs of Staff

No. of Activities: 1

Personnel: 999

Annual Appropriation: \$52 Million

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN- DAY REQUIREMENTS</u>
Printing, Reproduction & Graphics	<u>20</u>
Security Division	<u>20</u>
Property & Equipment Management	<u>20</u>
Supply & Services	<u>20</u>
ADP	<u>20</u>
Personnel Management	<u>20</u>
Message Center	<u>20</u>
TOTAL	<u>140</u>

RECAP

MAJOR ACTIVITY CHAMPUS

NUMBER OF OPERATING ACTIVITIES Two

PERSONNEL 215

ANNUAL APPROPRIATION \$635 Million

OTHER MISSION WORKLOAD FACTORS:

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN - DAY REQUIREMENTS</u>
Organizational Structure	100
Program Management	400
Contract Monitorship	300
Controls Over Benefits	300
Other	250
TOTAL	1,350

Defense Audit Service
Directorate for Financial and Manpower Audits
Program Division - FH (Medical and CHAMPUS)

CHAMPUS Workload Plan

Areas

Manday Requirements

Organization Review

100

OASD(HA) - Policy	Washington, D.C.
OASD(C) - Funding	Washington, D.C.
OCEAMPUS - Operations	Denver, Colorado
OCHAMPUS - (Europe)	
- Operations	Germany

Required to evaluate Departmental direction given for the structuring, implementing and control of health care services provided DoD beneficiaries in civilian health facilities as authorized by statute.

Operations Review

Program Management

400

- Policy development and implementation
- MIS operations and evaluation
- CHAMPUS funds and expenditure controls
- Administrative support evaluation
- Overseas operation controls
- Organization resources management

Required to evaluate resources programed to carry out the objectives of the CHAMPUS program. Program costs have increased from \$91 million in FY58 to a budget estimate for FY77 of \$635 million. Manpower authorized for OCEAMPUS operations is 215 spaces.

Manday Requirements

Contractor Monitorship

300

Efficiency and effectiveness evaluation
in conjunction with HEWAA/DCAA

CHAMPUS currently has contracts with about
26 health insurance companies to process,
monitor and pay CHAMPUS claims. The cost of
this service is approximately \$18 million
annually. The service is provided worldwide.

Provided Benefits Management

300

Beneficiaries care and demographic trends
Beneficiaries eligibility monitorship
Recoupment controls
Program for handicapped dependents controls

Beneficiaries utilizing the CHAMPUS alter-
native provided \$2.3 million claims during
FY76 exclusive of prescription claims.

Other

250

Mobilization plan evaluation
Automated reports control evaluation
Medical equipment for beneficiaries,
buy on lease evaluation

These auditable areas represent peripheral con-
siderations, but impact on the overall respon-
sibility given DoD to efficiently and effectively
run the program.

ARMED FORCES RADIO & TV SERVICE

RECAP

MAJOR ACTIVITY _____

NUMBER OF OPERATING ACTIVITIES 1,140 TV & Radio Sites

PERSONNEL 1,939

ANNUAL APPROPRIATION \$85.25 Million + Military Pay & Allowances

OTHER MISSION WORKLOAD FACTORS:

X X

AUDIT WORKLOAD

FUNCTIONAL GROUPING

MAN-DAY REQUIREMENTS

<u>Operational Management</u>	<u>330</u>
<u>Personnel Requirements</u>	<u>210</u>
<u>Funding Requirements</u>	<u>120</u>
<u>Equipment Requirements</u>	<u>540</u>
<u>Programing</u>	<u>270</u>
<u>Total</u>	<u>1,470</u>
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Audit Workload
Armed Forces Radio and Television Service

Personnel: 1931 with 1646 located at overseas sites and 293 in
Los Angeles and D.C.

Activities: 1140 TV and Radio Sites

FY77 Funding: O&M \$73.5 million
Equipment \$11.75 million

<u>Functional Grouping</u>	<u>Man Days</u>
Operational Management	330
Headquarters	120
Associated Organization	120
Network Sites	90
Personnel Requirements	210
Manpower Standardization	90
Personnel Management	120
Funding Requirements	120
Operations and Maintenance	90
Other Procurement	30
Equipment Requirements	540
Cyclical Needs	180
Standardization	90
Inventory	180
Controls	90
Programming	270
Radio	120
TV	120
Reporting	30
Total	<u>1,470</u>

Audit Workload
DoD Dependent Schools

Personnel: 9,785
 FY77 Funding: \$257 million
 No. of Students: 140,000
 No. of Schools: 268

Functional Grouping

Man Days

Management		840
Headquarters	105	
European Region	210	
Pacific Region	105	
Atlantic Region	70	
DoDDS/CONUS Comparability	350	
Personnel Requirements		350
Management	105	
Recruiting Teachers	70	
Administrative	105	
Local National Hiring	70	
Funding Requirements		245
Budgeting	70	
Distribution and Control	70	
Interservice Support Organization	105	
Equipment Requirements		630
Supply System	210	
Warehousing and Distribution	210	
Supplies and Services	210	
Student Dormatory Program		210
School Construction Program		210
Other School Programs - Cafeteria Atlantic		<u>105</u>
	<u>Total</u>	<u>2590</u>

ACTIVITY: UNIFIED COMMANDS

WORKLOAD AND MANPOWER
REQUIREMENTS COMPUTATIONS

Direct man-days required	<u>1,400</u>
Direct man-years required (@ 260 man-days)	<u>5</u>
Annual Workload (man-years) (Level of Effort)	<u>2</u>
Total Personnel Required (Based on 75-25 Direct-Indirect Ratio)	<u>3</u>

RECAP

MAJOR ACTIVITY Unified Commands

NUMBER OF OPERATING ACTIVITIES 7

PERSONNEL 4,200

ANNUAL APPROPRIATION \$165 Million

3 Major
 EUCOM
 PACOM
 SOUTHCOM

OTHER MISSION WORKLOAD FACTORS:

4 Minor
 Alaskan Command
 Atlantic Command
 Continental Air Defense
 US Readiness Command

X X

AUDIT WORKLOAD

FUNCTIONAL GROUPING

MAN-DAY REQUIREMENTS

Personnel Administration	J-1	<u>200</u>
Intelligence Directorate	J-2	<u>200</u>
Operations Directorate	J-3	<u>200</u>
Logistics Directorate	J-4	<u>200</u>
Plans & Policy Directorate	J-5	<u>200</u>
Communications and		
Electronics	J-6	<u>200</u>
Comptroller		<u>200</u>
TOTAL		<u>1400</u>

RATIONALE AND METHODOLOGY FOR ASSESSING
INTERSERVICE-MULTILOLOCATION AUDIT WORKLOAD

Corporate level audits should normally serve both a policy-making and a resource-management client at the OSD level. Each audit subject should be significant and involve the three elements of accountability set forth by GAO in the Standards for Audit: (1) Financial and Compliance, (2) Economy and Efficiency, and (3) Program Results. Each audit effort should be of sufficient scope to fulfill the GAO Standards. To measure the interservice audit workload, the FY 1978 funding plan was used as a baseline. Each management entity was identified by major program at the subelement level (i.e., 6.1, 6.2, etc.) and by budget/appropriation title. The dollar value of each management entity was assessed in multiples of \$1 billion. For audit workload measurement purposes it was judged that for each \$1 billion of annual funding at least one significant audit should be planned over a 5-year period. It was further judged that a significant audit of adequate scope could be accomplished in accordance with GAO Standards with 1,000 man-days of direct audit effort on the average. To maintain a 5-year cycle would require an annual expenditure of 199 man-years of direct audit time. It would require a staff of 265 personnel (auditors and support) for this effort. Supporting data are presented in the attached schedule.

ACTIVITY: DoD. COMPONENTS

WORKLOAD AND MANPOWER
REQUIREMENTS COMPUTATIONS

Direct man-days required

259,000

Direct man-years required
(@ 260 man-days)

996

Annual Workload (man-years)
(5-year cycle)

199

Total Personnel Required
(Based on 75-25 Direct-Indirect Ratio)

265

Assessing Interservice-Multilocation Audit Workload.

Rationale

1. Each audit should serve, at the OSD level, both a policy-making and a resource-management client.
2. Each subject should be significant and involve the three elements of accountability set forth by GAO in the Standards for Audit: (1) Financial and Compliance, (2) Economy and Efficiency, and (3) Program Results.
3. Each audit should be of sufficient scope to fulfill the GAO Standards.

Methodology

To measure the audit workload universe using the above rationale we used the FY 1978 funding plan as a baseline, each management entity was identified by major program at the subelement level (i.e., 6.1, 6.2, etc.) and by budget/appropriation title. The dollar value of each management entity was assessed in multiples of \$1 billion. For audit workload measurement purposes we estimated that for each \$1 billion of annual funding, base FY 1978, at least one significant audit should be planned at a prescribed audit cycle (i.e., 2 years, 3 years, 4 years, etc.). It was our judgment that a significant audit of adequate scope could be accomplished in accordance with GAO standards using 1,000 man-days of direct audit effort on the average.

Calculation of Workload

Using the above methodology, the following number of significant auditable entities were identified:

- | | |
|---|------------|
| 1. Major Programs (by <u>subelement</u>) | 135 |
| 2. Major Budget Title | <u>124</u> |
| | <u>259</u> |

259 audits @ 1,000 man-days each = 996 man-years of workload to perform evaluations concerning \$120 billion of annual funding (using the rationale set forth above).

<u>1 yr</u>	<u>2 yr</u>	<u>3 yr</u>	<u>4 yr</u>	<u>5 yr</u>
996	498	332	249	199

RATIONALE AND METHODOLOGY FOR ASSESSING
SECURITY ASSISTANCE PROGRAM WORKLOAD

An inventory of all entities and activities involved in the security assistance program was made in accordance with DoD Instruction 7600.3. All levels of management were considered. It was estimated that to cover this high risk program on a 2-year cycle, it would require the annual expenditure of 31 man-years of direct audit time. To accomplish this, a staff of 41 personnel would be needed. Supporting data are presented in the attached schedule.

ACTIVITY: SECURITY ASSISTANCE PROGRAM

WORKLOAD AND MANPOWER
REQUIREMENTS COMPUTATIONS

Direct man-days required	<u>16,359</u>
Direct man-years required (@ 260 man-days)	<u>63</u>
Annual Workload (man-years) (2-year cycle)	<u>31</u>
Total Personnel Required (Based on 75-25 Direct-Indirect Ratio)	<u>41</u>

DEFENSE SECURITY ASSISTANCE AGENCY

Foreign Military Labs
Security Assistance Programs

RECAP

MAJOR ACTIVITY Security Assistance Program -

Foreign Military Sales & MAP Work at CONUS Locations

NUMBER OF OPERATING ACTIVITIES Varies Among the Functional Groups,
see Attached List of Major Activities Involved.

PERSONNEL Unknown.

ANNUAL APPROPRIATION Reimbursable \$57B ordered, \$32B undel.

OTHER MISSION WORKLOAD FACTORS:

Cost of Administering FMS exceeds \$153M annually
Cumulative Orders Placed with DoD about \$57B through Sep 76
Undelivered Orders about \$32B as of Sep 76

X X

AUDIT WORKLOAD

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
<u>Financial Management:</u>	
<u>Billing</u>	<u>420</u>
<u>Collections</u>	<u>280</u>
<u>Management of Free Assets</u>	<u>180</u>
<u>Progress Payments</u>	<u>360</u>
<u>Reimbursements</u>	<u>480</u>
<u>Trust Fund Management</u>	<u>480</u>
<u>Non-Recurring Costs</u>	<u>220</u>
<u>Administration Surcharge</u>	<u>300</u>
<u>Accessorial Charges</u>	<u>200</u>
<u>Asset Use Charge</u>	<u>200</u>
<u>Training</u>	<u>885</u>
<u>Control of Obligation Authority</u>	<u>265</u>
<u>Interest Assessments</u>	<u>180</u>

AUDIT WORKLOAD (CONTINUED)

<u>FUNCTIONAL GROUPING</u>	<u>MAN-DAY REQUIREMENTS</u>
Credit Sales	300
Administration:	
FMS Management System	220
FMS Performance Reporting and Data	
Base Accuracy	200
Management of Case Files	300
Training Assistance Teams	320
Support of Foreign Liaison Personnel	215
Logistics:	
Price and Availability	215
Discrepancies in Shipments	360
Delivery Status	420
Supply Support Arrangements	310
Gov't Furnished Material	265
Support Responsiveness	300
Contingency Planning	120
Third Country Transfers	195
Material Pricing	835
Maintenance Support	525
DoD Support to Int'l Organizations	215
Coproduction - Codevelopment Agree-	
ments	365
Implementation of Offset Agreements	425
Transportation:	
Recovery of Transportation Costs in	
Support of Security Assistance	565
Transportation Rates in Shipment of	
Items with Unit Cost Less than	
\$10,000	235
Adequacy of 4 percent Asset-Use	
Charge for Special Air Missions	215
Credits for Movement of Cargo of	
Opportunity	220
TOTAL	11,590

MAJOR ACTIVITIES INVOLVED

DoD

International Security Affairs (ISA)	Washington, DC
Defense Security Assistance Agency (DSAA)	Washington, DC
Security Assistance Accounting Center	Denver, CO
Defense Language Institute	Lackland AFB, TX

Army

U.S. Army Materiel Development & Readiness Cmd	Alexandria, VA
U.S. Army International Logistics Center	New Cumberland, PA
U.S. Army Tank Automotive Command	Warren, MI
U.S. Army Missile Research & Development Cmd	Huntsville, AL
U.S. Army Aviation Support Command	St. Louis, MO
U.S. Army Armament Command	Rock Island, IL
U.S. Army Electronics Command	Ft. Monmouth, NJ
U.S. Army Finance Center	Ft. Ben Harrison, IL
U.S. Army Troop Support Command	St. Louis, MO

Navy

U.S. Navy International Logistics Center (NAVILC)	Bayonne, NJ
U.S. Navy Finance Center	Cleveland, OH
Ship Parts Control Center (SPCC)	Mechanicsburg, PA
Aviation Supply Officer (ASO)	Philadelphia, PA
U.S. Navy Material Command	Washington, DC
U.S. Naval Air Systems Command	Washington, DC
U.S. Naval Sea Systems Command	Washington, DC
U.S. Naval Supply Systems Command	Washington, DC

Air Force

Air Force Accounting and Finance Center	Denver, CO
Air Force Logistics Command	Wright-Patterson AFB, OH
Oklahoma City Air Logistics Center	Oklahoma City, OK
Ogden Air Logistics Center	Ogden, UT
San Antonio Air Logistics Center	San Antonio, TX
Sacramento Air Logistics Center	Sacramento, CA
Warner-Robins Air Logistics Center	Robins AFB, GA
Air Force Systems Command	Andrews AFB, MD
Aeronautical Systems Division	Wright-Patterson AFB, OH
Electronic System Division	L. G. Hanscom AFB, MA
Military Airlift Command	Scott AFB, IL
Air Training Command	Randolph, TX

MAJOR ACTIVITIES INVOLVED (CONTINUED)

Defense Logistics Agency

Defense Construction Supply Center	Columbus, OH
Defense Electronic Supply Center	Dayton, OH
Defense General Supply Center	Richmond, VA
Defense Industrial Supply Center	Philadelphia, PA
Defense Personnel Support Center	Philadelphia, PA
Defense Fuel Supply Center	Cameron Station, VA

AUDIT WORKLOAD (CONTINUED)

FUNCTIONAL GROUPING

MAN-DAY
REQUIREMENTS

Paraguay	20
Peru	45
Uruguay	20
Venezuela	45
Greece	180
Iran	1464
Jordan	45
Liberia	45
Morocco	45
Netherlands	20
Nigeria	30
Kuwait	30
Pakistan	20
Portugal	45
Saudi Arabia	840
Spain	45
Tunisia	45
Turkey	180
Zaire	45
Japan	20
Indonesia	180
Korea	200
Malaysia	30
Philippines	180
Taiwan	90
Bellux	20
Denmark	20
France	20
Italy	20
Norway	20
India	20

TOTAL Man Days

136

4769

RATIONALE AND METHODOLOGY FOR ASSESSING
SPECIAL AND REQUEST AUDITS WORKLOAD

Experience during the period April 1, 1977, through July 19, 1977, showed that special and request audit workload was about 170 man-years of direct audit time. If DAS were adequately manned to maintain a planned audit cycle of 2 to 3 years for significant DoD subjects, we estimate that 50 percent of the current volume of requested audits could be included within the scope of scheduled recurring audits. On this basis it would require 85 man-years of direct time to provide requested audit service. A total of 113 personnel would be required to support this effort. A listing of FY 1977 request audits is in the attached schedule.

DEFENSE AUDIT SERVICE

STATUS OF REQUESTED AUDITS - AUGUST 1, 1977

<u>Project Number & Title of Audit</u>	<u>Requested By</u>	<u>Date of Request</u>	<u>To Be Completed By</u>	<u>Status</u>
7IK-103 NSA Stock Fund	NSA	Nov 73	Jan 77	Rewrite
7IO-105 AFRTS Worldwide	Director, OIAP	Apr 76	Aug 77	Draft Report in process
7IW-111 Inventory and Accounting System of Non-Nuclear Missiles	DASD (Security Policy)	Aug 76	Aug 77	Draft Report in process
7IW-113 Staffing Requirements - Single Manager for Ammunition	DASD (Material Acquisition)	Nov 76	Mar 77	Final Report To Be issued Aug 77
7IO-116 AFRTS Followup	ASD (Public Affairs)	Oct 76	Jan 77	Final Report Issued
18 DoD Educational Support to Civilian Medical Schools	Congressional Appropriations Committee	Sep 76	Apr 77	Final Report Issued 3/31/77
7FA-119 Enrolments	General Counsel DoD	Aug 76	Jun 77	Draft Report 6/30/77 Final 8/77
7FA-126 Procurement - Iran	DEFREP - Iran	Jun 76	May 77	Final 6/77
7FF-127 Teachers' Pay	Director, Office of Dependent Schools & DEPCINCEUR	Nov 76	May 77	Final May 77
7FF-128 Executive Messes	DASD (Administration)	Jan 77	Jun 77	Draft Report 8/77
7FF-129 Accounting Systems	GAO/ASD(C)	Aug 73	Continuous	-
7FE-134 Stars and Stripes	Cdr in Chief (CINCPAC & PA)	Dec 76	May 77	Draft Report 7/11/77 Final 8/77
7FA-135 Auditor Training- Iran	DEFREP - Iran	Jan 77	Continuous	-
37 Compliance with Environ- mental Standards	OASD(I&L), Environ- mental & Safety, Installations & Housing	Mar 75	Mar 77	Final Report issued 6/3/77

<u>Project Number & Title of Audit</u>	<u>Requested By</u>	<u>Date of Request</u>	<u>To Be Completed By</u>	<u>Status</u>
7SS-139 Organization and Staffing - Depot Supply Operations	DASD (Supply, Maintenance and Services)	Aug 76	Jun 77	Draft To Be Issued in Aug 77
7SP-140 Procurement Practices	DASD (Procurement)	Nov 76	Mar 77	Final Issued 5/6/77
7SY-143 Audit of RDT&E Tech Base Data	Dep Dir. (Research & Advanced Technology)	Sep 76	Mar 77	Final Report issued 6/3/77
7SS-146 User Level Participation in DoD Personal Property Utilization Program	DASD (Supply, Maintenance & Services)	Nov 76	Jul 77	Draft To Be Issued in Aug 77
7SP-153 Audit of Small Business Activities within the DoD	DASD (Procurement) OASD (I&L)	Mar 77	Jul 77	Draft To Be Issued Aug 77
7SP-154 Corps of Engineers, Saudi Arabia	Director, Defense Security Assistance Agency & DEPSECDEF	Nov 76	Jun 77	Draft 8/77
7SS-158 Demil Coding	DASD (Supply, Maintenance & Services)	Jun 76	Jul 77	Draft To Be Issued in Sept 77
7SS-161 Standard Integrated Support Management System	DASD (Supply, Maintenance & Services)	Dec 76	Jun 77	Draft To Be Issued in Aug 77
7ST-162 Cost Analysis - Container Stuffing	DASD (Supply, Maintenance & Services)	Jan 77	Jun 77	Draft To Be Issued in Aug 77
7FB-164 DCASR Disbursement of Army Funds	DLA/USAAA	Oct 76	Feb 77	Final Report Issued 5/25/77
7ST-189 Mail and Message Service - DC Area	DASD (Supply, Maintenance & Services)	Jan 77	Apr 77 Jun 77	Final Issued 6/20/77 Phase II - Draft To Be Issued Aug 77
7IK-192 FMS Cases - NSA	NSA	Jan 77	May 77	Issued 7/77

<u>Project Number & Title of Audit</u>	<u>Requested By</u>	<u>Date of Request</u>	<u>To Be Completed By</u>	<u>Status</u>
7SL-203 NORS - DLA	AF	Jan 77	Apr 77	Draft Issued 7/26/77
7S6-209 Medical Support Structure	ASD(I&L)	Feb 77	Mar 77	Final Issued 4/29/77
7SI-210 Review of Construction Project	OASD(C), Dir. Construction Program/Budget	Feb 77	Feb 77	Final Issued 3/31/77
7FF-222 Review of Depot Main- tenance Cost Account- ing System	DASD(Supply, Main- tenance & Services)	Jan 77	Jul 77	Draft Issued 7/26/77
7SY-224 Financial Management of DT&E Appropriation	Principal Assistant, Dir. Test & Evalua- tion (ODDR&E)	Feb 77	Jun 77	Draft Prepared
7SL-226 Repair of IMU	OASD(I&L) (Supply Maintenance & Services)	Nov 76	Apr 77	Draft Prepar
7S-228 Cargo Security & Accountability	DASD (Supply, Main- tenance & Services) OASD(I&L)	Mar 77	Sept 77	On Schedule
7FA-230 Pricing of Ammunition and Missiles for the SAP	DEFREP - Iran and DSAA	Jan 77	Oct 77	On schedule
7S3-232 Storage Costs for IPE	DLA	Jul 76	Jun 77	Final Issued 7/6/77
7FB-236 Exchange Systems	OASD(M&RA) Dep Cdr Chief, Europe	Jan 77	Dec 77	On Schedule
7SP-242 Cost Evaluation of ADPE Procurement	DLA	Feb 77	Apr 77	Final Issued 3/31/77
7FA-243 Review of Foreign Military Sales	Director, DSAA	Mar 77	Oct 77	On Schedule
7F8-245 Assist Audit, Review of Weapons Procurement, Navy Appropriations	Director, DSAA	Mar 77	Jun 77	Final Report Prepared. Issue in 8/77

<u>Project Number & Title of Audit</u>	<u>Requested By</u>	<u>Date of Request</u>	<u>To Be Completed By</u>	<u>Status</u>
7SP-246 Review of Improvements to DoD Subsistence Procurement Practices	DASD (Supply, Maintenance & Services) and DLA	Mar 77	Sep 77	On Schedule
7SS-247 Defense Inactive Item Program	DASD (Supply, Maintenance & Services)	Mar 77	Dec 77	On Schedule
7ST-248 Use of Category Z Air Transportation	AF, Assistant DCS Systems & Logistics	Feb 77	Nov 77	On Schedule
7TK-250 NSA Civilian Welfare Fund	NSA Assistant Dir. for Plans & Resources	Mar 77	May 77	Draft Report in AM
7S3-251 SAMMS-Automated Small Purchase System (SASPS)	DLA	Apr 77	Jul 77	Draft Prepared
7FR-252 Utilization of Recruiting and Retention Funds by Reserve Components	DASD (Reserve Affairs)	Apr 77	Sep 77	On Schedule
73 Utilization of CONUS and Overseas Air Passenger Terminals	I&L	Apr 77	Nov 77	On Schedule
7SI-254 Evaluation of Minor Construction Program	DASD (Installations & Housing)	In Process	Aug 77	On Schedule
7F3-255 Actual vs Programed Expenditures for DLA War Reserves	DLA	Apr 77	Jul 77	On Schedule Draft in 8/77
7S5-256 Contractor Inventory Redistribution System-Test Data	DLA	Apr 77	May 77	Final Memo Report Issued 6/77
7FR-257 Audiovisual Activities	OIAF - ASD (PA)	Apr 77	May 77	On Schedule
7FR-259 Review of Reserve and National Guard Forces	Dir., Planning and Evaluation OSD	Apr 77	Aug 77	On Schedule
7IX-260 NAF-NSA Germany	Assistant Director for Plans & Resources-NSA	Apr 77	May 77	Draft Report in AM

<u>Project Number & Title of Audit</u>	<u>Requested By</u>	<u>Date of Request</u>	<u>To Be Completed By</u>	<u>Status</u>
7S3-262 Interservice Support Agreements with Defense Property Disposal Offices	DLA	Mar 77	Sep 77	On Schedule
7A0-263 Study of the Relationship of Internal Audit to Other Internal Review Groups in DoD	ASD.(Comp)	Feb 77	Dec 77	On Schedule
7FF-264 Leased Equipment	DASD(Admin)	Apr 77	Sep 77	On Schedule
7SI-265 DoD's Leased Housing Program	DASD(I&H)	May 77	Aug 77	On Schedule
7F2-268 Audit of Unliquidated Obligations	DLA/DGSC	May 77	Aug 77	On Schedule
7S2-269 Consolidation of Overseas Shipments-Bayonne	DLA/DGSC	Mar 77	Oct 77	On Schedule
7S-270 Supply Management of Bearings	DLA	Mar 77	Jul 77	On Schedule
7SL-271 DPSC Disbursing Procedures Fresh Fruits & Vegetables	DLA	Mar 77	Jul 77	On Schedule
7FL-272 Automatic Payment of Invoices (DCASR-P)	DLA	Mar 77	To be determined	On Schedule
7SL-273 Indicia Labels	DLA	Mar 77	Jul 77	Cancelled
7F8-274 Review of EDT&E (N) Appropriations	Navy	May 77	Aug 77	On Schedule
7SY-276 Audit of Plant Modernization Costs	Director, (Program Analysis & Evaluation)	May 77	Sep 77	On Schedule
7FF-278 Progress Payments in the Shipbuilding Program	OASD(MRA&L)	Mar 77		Start deferred to 1/78
7IC-279 Review of DCA Communications Service Industrial Fund (CSIF)	Director, DCA	Jun 77	To Be Determined	
7SY-280 Audit of Cost Estimates for the Roland Missile	Director (Program Analysis & Evaluation)	May 77	Oct 77	On Schedule

<u>Project Number & Total of Audit</u>	<u>Requested By</u>	<u>Date of Request</u>	<u>To be Completed By</u>	<u>Status</u>	
7SY-282	Review of Requirements for Tactical Fighter Aircraft	Director, (Program Analysis & Evaluation)	Jun 77	Jan 78	On Schedule
7SI-283	Review of the Consolidated Real Property Maintenance (RPMA) at Selected Areas	DASD (Installations & Housing)	Jun 77	Sep 77	On Schedule
7IK-284	Financial Management Data System - NSA	Director, (Plans & Resources)	Jun 77	Aug 77	Cancelled
7IY-285	Nonappropriated Fund Activities, NSA	Director, Plans & Resources)	Jun 77	Aug 77	On Schedule
7IN-287	DARPA Project Management	DARPA	Jun 77	Aug 77	On Schedule
7ST-294	TP-4 Deferred Air Freight Program	CINCUSEUR	May 77	Aug 77	On Schedule
16	Initial Spares Procurement for Tactical Support Aircraft	ASD (Program Analysis & Evaluation)	Undated	Sep 77	On Schedule
7FE-297	Dependents Education	OASD(MRA&L) & DEPCINCEUR	May 77	Mar 78	On Schedule
7FE-300	Review of Actual vs. Programmed Expenditures for War Reserves in the Army, Navy, Marines and Air Force	Senate Appropriations Committee	May 77	Dec 77	On Schedule
7S3-303	Review of Delinquent Dues-In for Back-ordered Items	DLA	May 77	Oct 77	On Schedule
7SS-304	Impact of DoD Cost Accounting System on Depot Management and Resource Allocation	DASD(MRA&L) (SMS)	May 77	Sep 77	On Schedule
7SL-305	SAMMS Management by Exception	DLA	May 77	Oct 77	On Schedule

<u>Project Number & Total of Audit</u>	<u>Requested By</u>	<u>Date of Request</u>	<u>To be Completed By</u>	<u>Status</u>
7SS-307 Validation of DLA SAMMS Pertaining to FMS	DLA	Jul 77	Aug 77	On Schedule
7FV-308 MAAG Administrative Costs	CINCPAC	Jan 77	Nov 77	On Schedule
7SY-309 Audit of the Surface Effect Ship (SES)	Deputy Director, DDR&E (Tactical Warfare Programs)	Apr 77	Nov 77	On Schedule
7FF-312 Obligations for Items not Carried in Stock Fund	DASD (Management Systems)	May 77	Dec 77	On Schedule

PERSONNEL END STRENGTH

FY 1977 - FY 1981

FY 1977	340
FY 1978	369
FY 1979	369
FY 1980	379
FY 1981	403 (ESTIMATE)

DEFENSE AUDIT SERVICE

EMPLOYEE PROFESSIONAL PROFILE

EDUCATION LEVEL:	BACHELOR'S DEGREE	311
	MASTER'S DEGREE	75
	LAW DEGREE	1
CERTIFICATION:	CPA	29
	CIA	84
	CDPA	13

ACCOMPLISHMENTS

AUDIT REPORTS ISSUED

Number	Project	Class	Title	Date	Div
80-001	9F7-017	U	Report on the Review of the Office of Civilian Health and Medical Program of the Uniformed Services Automated Information System	10-03-79	Denv
80-002	9IC-007	C	Report on the Review of Requirements for an AN/GSC-39 Satellite Communications Terminal (U)	10-03-79	IC
80-003	9FA-148	U	Review of Foreign Military Sales Ceiling Management	10-05-79	FM
80-004	9AB-018	U	Review of the Strategic Petroleum Reserve Acquisition Program - Defense Fuel Supply Center	10-12-79	SP
80-005	8SV-057	U	Third Summary Report on the Interservice Review of U.S. Force Reductions in Korea	10-12-79	SY
80-006	8AL-092 *	U	Report on the Audit of Subsistence Billing Operations Defense Personnel Support Center, Philadelphia, Pennsylvania	10-12-79	Phil
80-007	8IG-172	U	Report on the Review of Program Execution and Year-End Spending Controls at the Defense Intelligence Agency	10-15-79	IC
80-008	8AB-165	U	Report on the Review of Skill Progression Training Requirements	10-15-79	SE
80-009	9FA-013	U	Report on the Review of Army's Pricing of Ammunition for Foreign Military Sales	10-15-79	FI
80-010	8S4-156	U	Report on the Audit of Selected Supply Functions at the Defense Depot, Memphis, Tennessee	10-17-79	Atla
80-011	9SI-149	U	Report on the Review of the Cost Study Related to Audiovisual Services at Randolph Air Force Base	10-18-79	SY
80-012	8IG-183	S	Defense Dissemination Program (Classified Title)	10-26-79	IC
80-013	8AL-098	U	Interim Report on the Review of Small Purchases of Clothing and Textiles Defense Personnel Support Center, Philadelphia, PA	10-22-79	Phi
80-014	8FF-089	U	Report on the Review of the Management of Government Funded Automatic Data Processing Equipment at Contractors' Plants	10-24-79	FI
80-015	9SI-149	U	Report on the Review of Contractual Guard Services at the Lima Army Modification Center, Lima, Ohio	10-23-79	S

AUDIT REPORTS ISSUED

umber	Project	Class	Title	Date	Div
80-016	9FH-044	U	Summary on the Review of Civilian Overtime at Selected Defense Logistics Agency Activities	10-23-79	M
80-017	9SI-149	U	Report on the Review of the Cost Study Related to Trainer Maintenance and Fabrication at Lackland Air Force Base	10-23-79	SY
80-018	8AE-140	U	Report on the Review of Flight Simulator Training Devices	10-26-79	SP
80-019	8S8-164	U	Report on the Audit of DoD Physical Security	10-29-79	Inst
80-020	8I2-148	U	Report on the Review of Administrative Vehicles in the Norfolk Area	10-29-79	Norfolk
80-021	8SP-077	U	Report on the Review of Security and Control Over Small Arms and Ammunition	10-31-79	SY
80-022	9IK-049	C	Report on the Audit of Project TOPS/MOONPENNY Construction	11-02-79	IC
80-023	8AL-139	U	Report on the Review of Duplicate Contracts at Paying Offices, Defense Logistics Agency	11-01-79	SP
80-024	9FF-102	U	Report on the Review of the Management of Automatic Data Processing Operations at OCHAMPUS	11-06-79	M
80-025	8IK-040	S	Report on the Audit of the Department of Defense TEMPEST Program	11-06-79	IC
80-026	9SI-178	U	Audit of Cost Evaluation of Automatic Data Processing Equipment (ADPE) Procurement, Request for Proposal	11-02-79	SY
80-027	9FH-044	U	Report on the Review of Civilian Overtime at the Defense Personnel Support Center, Philadelphia, PA	11-05-79	FM
80-028	9SI-149	U	Report on the Review of Selected Commercial and Industrial Activities at Keesler Air Force Base, Biloxi, Mississippi	11-05-79	SY
80-029	9IW-053	S	Report on the Audit of Defense Mapping Agency Missile and Target Data Requirements	11-13-79	IC
80-030	8AL-139	U	Report on the Review of Controls of Fast Pay Transactions, Defense Personnel Support Center, Philadelphia, Pennsylvania	11-14-79	Ph
80-031	8F7-174	U	Report on the Audit of the Management and Administration of Psychiatric Benefits under the Civilian Health and Medical Program of the Uniformed Services	11-14-79	M

AUDIT REPORTS ISSUED

Number	Project	Class	Title	Date	Dist
80-032	9AE-050	U	Report on the Review of the Navy Air Combat Maneuvering Simulator	11-15-79	SP
80-033	9AO-031	U	Report on the Review of the Claims, Defense Program	11-23-79	SP
80-034	7SY-296	U	Report on the Review of Initial Spares Provisioning for Tactical Aircraft	11-26-79	SY
80-035	9S4-044	U	Review of Selected Support Functions at Defense Contract Administration Services Region Atlanta	11-27-79	Atlanta
80-036	9FH-140	U	Report on the Review of Foreign Currency Fluctuations, Defense Appropriation	11-27-79	FM
80-037	9FH-140	U	Report on the Review of the Foreign Currency Fluctuations, Defense Appropriation	11-28-79	FM
80-038	9S5-113	U	Review of Real Property Maintenance and Construction, Defense Depot Memphis, Tennessee	11-29-79	St. Lou.
80-039	9IN-043	U	Report on the Audit of Overtime Controls in the Defense Intelligence Agency	12-06-79	IC
80-040	9FA-020	U	Report on the Review of Foreign Military Sales Administrative Budgets at Selected Army Materiel Readiness Commands	12-13-79	FM
80-041	8SS-114	U	Report on the Review of Replenishment Policies for Secondary Investment Items	12-17-79	SY
80-042	8FH-177	U	Report on the Audit of Audiovisual Support for Training in the Department of Defense	12-26-79	FM
80-043	8SS-111	U	Report on the Review of the Logistics Data Element Standardization and Management Program	12-27-79	SY
80-044	9SS-041	U	Report on the Audit of the Defense Property Disposal Office Okinawa, Ryukyu Islands, Japan	01-07-80	SY
80-045	8FR-157	S	Report on the Review of Selected Command, Control, and Communications Systems in the European Theater (U)	01-07-80	FM
80-046	9FM-029	S	Report on the Review of Aviator Training Rates	01-08-80	FM
80-047	8FM-107	S	Report on the Review of DoD Aviator Requirements	01-14-80	FM
80-048	8IC-061	U	Report the Review of Frequency Management Within the Department of Defense	01-15-80	IC

AUDIT REPORTS ISSUED

Number	Project	Class	Title	Date	Div
80-049	8SP-173	U	Report on the Review of the Data Base Used for Contract Administration Services Staffing	01-15-80	
80-050	9SS-024	U	Report on the Review of Pricing of Materiel in the DoD Supply System	01-18-80	SY
80-051	8IK-043	C	Report on the Audit of Communications Security Equipment Maintenance in the Department of Defense	01-21-80	IC
80-052	9FM-029	U	Report on the Review of DoD Aviator Inventories	01-21-80	FM
80-053	9A2-092	S	Report on the Review of Antisubmarine Warfare Programs	01-21-80	SP
80-054	9FV-116	U	Report on the Review of Reimbursements to DoD Appropriations for Support Provided to the Security Assistance Program in Korea	01-24-80	PAC
80-055	8IN-063	S	Report on the Audit of Remotely Piloted Vehicles and Drones (U)	01-25-80	IC
J-056	9IK-097	C	Audit of the Management of Communications Security (COMSEC) Aids in the Department of Defense	01-23-80	IC
80-057	9SI-135	U	Report on the Audit of the Management of Planning and Design	01-23-80	SY
80-058	9SV-057	U	Report on the Review of Real Property Maintenance Activities in Hawaii	01-25-80	PAC
80-059	9FV-155	U	Report on the Review of Reemployment Travel Benefits, Hawaii	01-25-80	PAC
80-060	9AO-040	U	Report on the Review of Retired Military Pay to Survivors: The Department of Defense and the Veterans Administration	01-28-80	SP
80-061	9SI-055	U	Report on the Audit of the Family Housing Program for General, Flag, and Senior Officers	02-08-80	SY
80-062	8AL-095	U	Report on the Review of Selected Areas of Customer Support Defense Industrial Supply Center, Philadelphia, PA	02-20-80	SP
80-063	9IN-043	U	Report on the Audit of Overtime Controls in the National Security Agency	02-20-80	IC
80-064	9SS-072	U	Report on the Review of the Military Standard Logistics Systems Office	02-22-80	

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AUDIT REPORTS ISSUED

Number	Project	Class	Title	Date	Di
80-065	9AL-063	U	Report on the Audit of Defense Logistics Agency Transaction Controls for Subsistence Stocks Stored at Pacific Depots	02-27-80	SP (Phi
80-066	9FR-056	S/FRD	Report on the Review of Selected Aspects of the Theater Nuclear Program (U)	02-27-80	FM
80-067	0FM-026	U	Review of DoD audiovisual Facilities	02-27-80	FM
80-68	9FF-162	U	Report on the Survey of Data Processing Activities in the Pentagon	03-03-80	FM
80-069	9SI-062	S	Report on the Review of the Planned Construction of a High Energy Laser Systems Test Facility at the White Sands Missile Range, New Mexico	03-10-80	SY
80-070	9AB-082	U	Report on the Review of DoD Storage Requirements for Aviation Fuel	03-12-80	SP
80-071	9SP-047	U	Report on the Audit of Procurement Activities at Selected Defense Supply Centers	03-12-80	SY
80-072	9SM-054	U	Report on the Review of the F-14 Engine Improvement Program	03-13-80	SY
80-073	9SI-134	U	Report on the Audit of the DoD Energy Conservation Investment Program for Family Housing and Reserve Component Facilities	03-13-80	SY
80-074	9AB-018	U	Report on the Review of Acquisition of Bulk Refined Fuel for DoD Use	03-17-80	SP
80-075	8SY-152	C	Report on the Review of Spare Aircraft Engine Requirements (U)	03-17-80	SY
80-076	9SM-008	U	Report on the Audit of the DoD Bearing Program	03-18-80	SY
80-077	0SS-028	U	Review of Property Management (Memo to Dir, JS)	03-18-80	SY
80-078	0SS-028	U	Review of Property Management (Memo to Dir, WHS)	03-18-80	SY
80-079	0SS-028	U	Review of Property Management (Memo to Dir, DLA)	03-18-80	SY
80-080	9IW-053	U	Report on the Audit of Mapping, Charting, and Geodetic Military Survey Resources within the Army and Marine Corps	03-25-80	IC
80-081	0IC-001	U	Review of Electronic Warfare Programs	03-25-80	IC
80-082	9AB-026	U	Report on the Review of Recruit Training Activities within the Department of Defense	03-27-80	SP

AUDIT REPORTS ISSUED

Number	Project	Class	Title	Date	Div
80-083	9SI-003	U	Audit of Maintenance and Repair of Family Housing	04-01-80	SY
80-084	9AE-050	U	Report on the Review of the Infantry Remoted Target System	04-02-80	SP
80-085	9SI-087	U	Report on the Review of the DoD Forestry Program	04-02-80	SY
80-086	9IJ-168	U	Report on the Review of Manpower Accounting in the Department of Defense	04-04-80	IC
80-087	8IC-181	U	Report on the Review of the AN/TTC-39 Switch Program	04-07-80	IC
80-088	9AE-015	S	Report on the Review of DoD Requirements for Close Air Support Aircraft (U)	04-10-80	SP
80-089	8IC-181	U	Report on the Review of Budgetary Support for the AN/TTC-39 Switch and Digital Group Multiplexer Procurement Programs	04-08-80	IC
80-090	9AE-050	U	Report on the Review of the Army's National Training Center	04-09-80	SP
80-091	9A7-130	U	Report on the Survey of Procedures for the Evaluation of Systems Reliability	04-10-80	IC
80-092	0FM-024	U	Audit of Contract Closings for Claims Processing Contractors	04-10-80	FM
80-093	9AO-107	U	Report on the Review of Disability Severance and Readjustment Payments	04-15-80	SP
80-094	9F7-079	U	Report on the Audit of The Recovery of Payments from Third Party Sources under the Civilian Health and Medical Program of the Uniformed Services	04-15-80	FM
80-095	0IW-060	U	Report on the Review of Office Furniture, Defense Mapping Agency	04-15-80	IC
80-096	8IC-169	U	Report on the Audit of the Defense Telephone Service - Washington	04-17-80	IC
80-097	9FF-052	U	Report on the Review of the Management of Defense Agency Data Processing Installations	04-25-80	FM
80-098	8I2-064	S	Final Report on the Review of the Management of Research and Development in Support of Tactical Operational Capability (U)	04-28-80	IC
80-099	8AL-098	U	Report on the Review of Procurement and Contract Administration for Clothing and Textiles Defense Personnel Support Center	04-30-80	Ph

AUDIT REPORTS ISSUED

Number	Project	Class	Title	Date	Div
80-100	9SX-037	U	Report on the Audit of Leased Housing in Europe	5/16/80	EUC
80-101	9AE-025	S	Report on the Review of Acquisition Management of Selected Tactical Missile Systems (U)	5/16/80	SP
80-102	9AE-025	S	Report on the Review of Requirements for Air Target Tactical Missile Systems (U)	5/16/80	SP
80-103	9IX-110	S	Report on the Audit of the USEUCOM Defense Analysis Center (EUDAC) (U)	5/18/80	IC
80-104	8IK	S	Use of Navy Project Orders (U)	5/27/80	IC
80-105	OSI-032	U	Review of Commercial or Industrial Type Activities Converted to Contract in FY 1977	5/27/80	SY
80-106	9SI-114	U	Report on the Audit of the DoD Food Service Program	5/28/80	SY
80-107	9FM-177	U	Report on the Review of the Tri-Service Medical Information Systems Program Office	5/28/80	FM
80-108	9SS-081	U	Report on the Review of the Responses to a Proposal to Realign Management of Consumable Items	5/29/80	SY
80-109	9AP-176	U	Report on the Review of the Acquisition and Distribution of Commercial Products Program	5/30/80	SP
80-110	9FV-011	U	Report on the Review of Temporary Lodging Allowances in Hawaii	6/02/80	FM
80-111	0IK-081	U	Review of Office Furniture, National Security Agency	6/03/80	IC
80-112	9FA-075	U	Report on the Review of Foreign Military Sales Transportation Costs	6/03/80	FM
80-113	0FR-037	S	Report on the Survey of Unit Training (U)	6/04/80	FM
80-114	9SL-128	U	Report on the Audit of Base Procurement Functions Defense Personnel Support Center	6/17/80	Phi
80-115	9FA-170	U	Report on the Review of Foreign Military Sales Administrative Budgets at Selected Air Force Activities	6/20/80	FM
80-116	0FA-083	U	Report on the Review of Contracts N00019-79C-0139 and N00019-79C-0335 Prior to Transfer of Accountability to the Centralized Foreign Military Sales Test Team	6/24/80	FM
80-117	OSI-002	U	Report on the Review of the Management of Polychlorinated Biphenyls (PCBs)	6/24/80	SY

AUDIT REPORTS ISSUED

Number	Project	Class	Title	Date	Div
80-118	9AO-027	U	Report on the Review of Disability Compensation Payments to the Active Reserves	6/27/80	SP
80-119	9AO-144	U	Report on the Review of DoD Debt Collection Programs for Former Military Personnel	7/10/80	SP
80-120	9FR-084	S	Report on the Review of Rapid Deployment Forces Designated to Respond to Contingencies (U)	7/10/80	FM
80-121	9IC-007	C	Report on the Review of DoD Satellite Communications Requirements (U)	7/16/80	IC
80-122	OS6-050	U	Review of Depot Maintenance Interservicing-MK 86 Gunfire Control System	7/17/80	SY
80-123	9AL-067	U	Report on the Review of Accounting, Contracting, and Contract Administration for Selected Defense Personnel Support Center Contracts	7/22/80	SP
80-124	9FM-167	U	Report on the Review of Provider Profiles and Payment Adjustments under the Civilian Health and Medical Program of the Uniformed Services	8/6/80	FM
80-125	9S8-065	C	Report on the Survey of Advanced Air Crew Training (U)	8/8/80	FA
80-126	9ST-089	S	Report on the Audit of the Military Ocean Terminals and the Capability of Commercial Port Facilities to Accommodate Defense Shipping (U)	8/20/80	SY
80-127	9FX-165	U	Review of the Eligibility of Recipients of Benefits Under the Civilian Health and Medical Program of the Uniformed Services (CHAMPUS), Europe	8/21/80	FM
80-128	9AP-137	U	Report on the Review of the DoD Consulting Services Program	9/2/80	SP
80-129	9FA-094	U	Report on the Review of Foreign Military Sales Case Management	9/2/80	FI
80-130	9AE-088	S	Report on the Review of the B-52 Aircraft Modification Program (U)	9/3/80	SP
80-131	9AE-151	U	Report on the Review of the CH47 Helicopter Engine Product Improvement Program	9/4/80	SP
80-132	OSI-073	U	Report on the Review of Government Costs for the Operating Equipment, Maintenance and Analysis Function at the Defense Depot Tracy, California	9/5/80	SY

AUDIT REPORTS ISSUED

Number	Project	Class	Title	Date	Div
80-133	9IK-097	C	Report on the Review of Transmission Security of Atlantic Command Component Forces (U)	9/8/80	IC
80-134	0IW-144	U	Report on the Audit of Defense Nuclear Agency Unit Fund Account	9/9/80	IC
80-135	9AO-123	U	Report on the Review of Active Reserve Drill Pay	9/15/80	SP
80-136	9IK-023	C	Report on the Audit of Contractor Services at the National Security Agency (U)	9/16/80	IC
80-137	0AO-027	U	Report on the Review of Selected Department of Defense Merit Pay Plans	9/16/80	SP
80-138	9S4-127	U	Report on the Review of Leadership Training for Enlisted Personnel	9/23/80	SP
80-139	0FA-083	U	Interim Report on the Review of the Test of Centralized Accounting and Disbursing for Foreign Military Sales Direct Cite Procurements	9/24/80	FM
80-140	0SI-032	U	Report on the Review of the Implementation of the Revised Commercial or Industrial Type Activities Program	9/24/80	SY
80-141	0FH-101	U	Report on the Audit of Progress Payments on DoD Contracts Administered by Selected Army Plant Representative Offices	9/25/80	FM
80-142	9SS-076	U	Report on the Review of Management of Forklift Trucks Within DoD	9/29/80	SY (Sa)
80-143	9IG-028	U	Report on the Review of Accounting Systems for Wiretap and Eavesdrop Equipment	9/29/80	IC

PROGRAM AND BUDGET

INFORMATION

DEFENSE AUDIT SERVICE
 OPERATION & MAINTENANCE, DEFENSE AGENCIES
Program and Financing (In Thousands of Dollars)

	<u>FY 1980</u> <u>Actual</u>	<u>FY 1981</u> <u>Estimated</u>	<u>FY 1982</u> <u>Estimated</u>
<u>Direct Obligations</u>			
Personnel Compensation	10,670	12,011	12,397
Personnel Benefits	1,236	1,384	1,429
Benefits to Former Personnel	24	6	6
Travel	1,839	2,438	2,525
Transportation of Things	53	58	63
Rent, Communications & Utilities	584	660	718
Standard Level User Charges (SLUC)	(362)	(415)	(452)
Communications, Utilities & Other Rent	(222)	(245)	(266)
Printing	1	1	1
Other Services	479	554	602
Supplies & Materials	71	78	85
Equipment	9	30	33
	<hr/>	<hr/>	<hr/>
Total Direct Obligations	14,966	17,220	17,859
<u>Reimbursable Obligations</u>			
	<hr/>	<hr/>	<hr/>
Total Reimbursable Obligations	--	--	--
	<hr/>	<hr/>	<hr/>
Total Obligations	<u>14,966</u>	<u>17,220</u>	<u>17,859</u>

MAJOR ISSUES

MAJOR ISSUE #1 - MANPOWER RESOURCES

This major issue concerns the balancing of audit requirements and manpower resources. As shown in the chart below, DAS has no growth in manpower resources beyond FY 1982.

	<u>Basic Level End Strength</u>					
	<u>FY 1981</u>	<u>FY 1982</u>	<u>FY 1983</u>	<u>FY 1984</u>	<u>FY 1985</u>	<u>FY 1986</u>
Fiscal Guidance (5/15/80)	403	410	440	470	465	460
DAS Preferred Program (5/15/80)	403	420	440	470	485	500
APDM (8/80)	403	409	409	409	409	409
Budget Review (As of 12/1/80)	403	409	409	409	409	409

When DAS was established in 1976, it was given only about half of the resources needed to provide the level and frequency of audit coverage prescribed by DoD Instruction 7600.3 and the GAO Standards for Audit of Governmental Organizations. Since 1976, we have managed to build the strength from 367 to 409 in FY 1982. The best interests of DoD in its efforts to combat fraud and waste would be best served by continuing the slow growth pattern for DAS in the FY 1982-86 timeframe. This is a realistic growth goal during the period and represents a genuine effort to reduce the serious audit staffing shortfall in DAS.

Major Issue #2 - Organizational Placement of the Defense Audit Service Within the Department of Defense

The Task Force on Evaluation of Audit, Inspection and Investigation Components of the Department of Defense report of May 1980 made the following recommendations regarding the organizational placement of the Defense Audit Service within the Department of Defense:

1. The Defense Audit Service and the Defense Investigative Service should report to an official who is free of operational responsibility for programs subject to audit and investigation and who is free to devote full time attention to audit and investigative responsibilities.

2. The Secretary of Defense should have the assistance of an additional full-time, senior staff officer, the Under Secretary of Defense for Review and Oversight, who could act on his behalf to monitor the economy, efficiency and effectiveness of the entire Department and to maintain a comprehensive effort against fraud, waste and abuse.

3. The Office of the Under Secretary of Defense for Review and Oversight should be established by statute providing for:

- Appointment by the President with the advice and consent of the Senate.
- Removal from office only by the President.
- Direction, control and supervision by the Secretary of Defense, or to the extent delegated, by the Deputy Secretary of Defense.

4. The Under Secretary should be responsible for:

- Providing direction, authority and control over the Defense Audit Service and the Defense Investigative Service (including the industrial security and personnel security programs).
- Formulating and promulgating Department of Defense internal audit, contract audit, internal review, criminal investigative and counterintelligence policy guidance.
- Oversight to ensure adherence to audit, investigative and counterintelligence policy guidance by elements of the Department. This would include programing and budgetary oversight of all audit and investigative agencies within the Department.

- Monitoring follow-up actions in response to internal and external audit and investigative findings and recommendations.
- Reporting problems and deficiencies related to the operation or administration of the Department to the Secretary of Defense.

As of December 1, 1980, the Secretary of Defense was still considering the task force's recommendations.



DEFENSE AUDIT SERVICE

SUMMARY REPORT OF OPERATIONS

FISCAL YEAR 1979

"Serving Management"



DEFENSE AUDIT SERVICE

1300 WILSON BOULEVARD
ARLINGTON, VIRGINIA 22209

MEMORANDUM FOR MR. QUETSCH

SUBJECT: Annual Summary Report of Audit Operations

In accordance with Department of Defense Instruction 7600.1, I respectfully submit the annual summary report of audit operations of the Defense Audit Service (DAS) during the fiscal year ended September 30, 1979.

The activities of DAS are highlighted in Chapter One of this report. I believe 1979 was a significant year for DAS--a year marked by new leadership changes and intensive efforts to improve the quality of our efforts to Department of Defense managers.

Clement E. Roy
Clement E. Roy

Enclosure

The Defense Audit Service is under the control and direction of the Director, Defense Audit Service. The Director also performs the responsibilities of the Deputy Assistant Secretary of Defense(Audit). The Director is a career civil service employee under the Senior Executive Service.

DIRECTORS, DEFENSE
AUDIT SERVICE

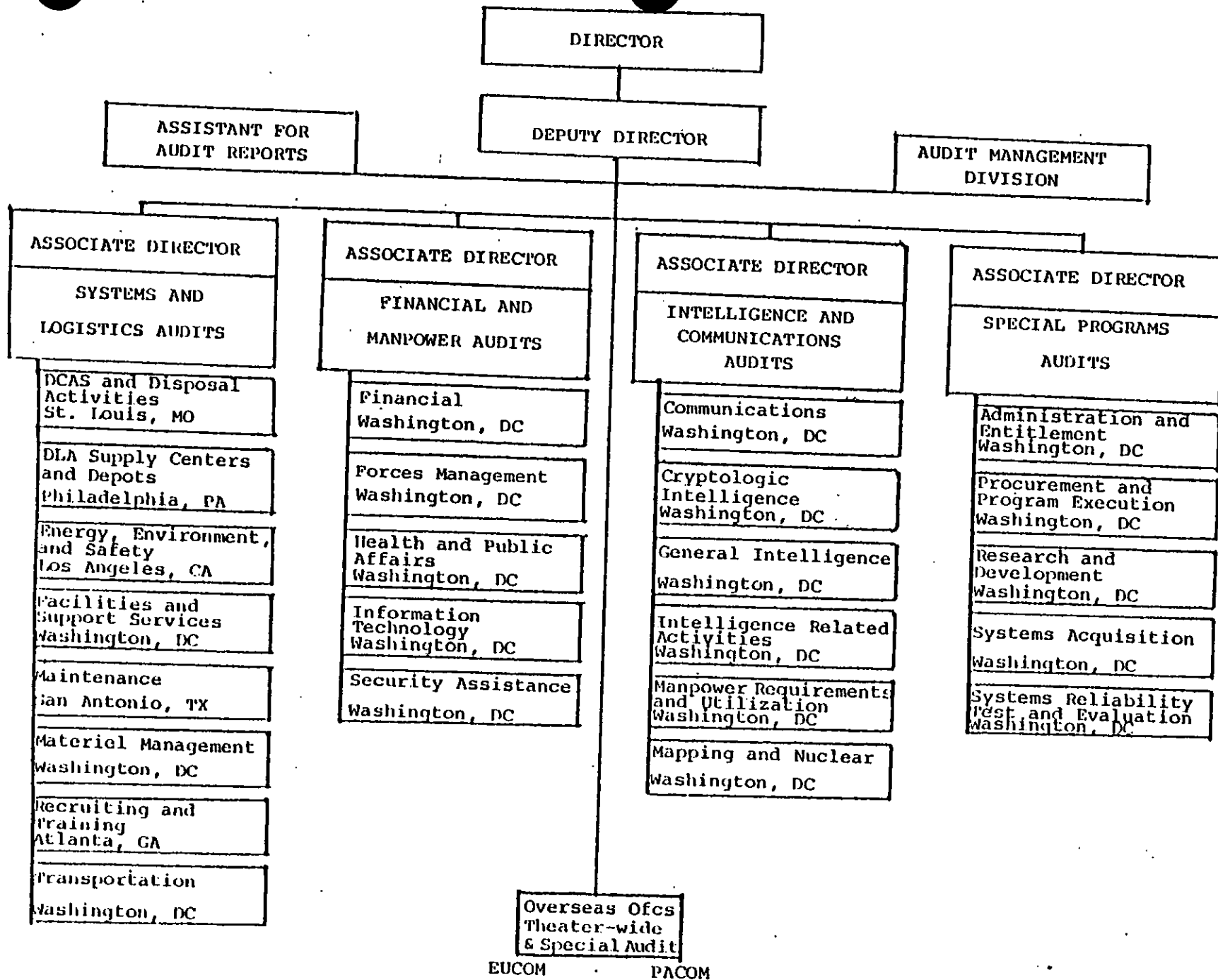
Frank Sato
March 1977 - May 1979

Clement E. Roy
June 1979 - Present

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DEFENSE AUDIT SERVICE ORGANIZATION CHART



CHAPTER ONE - HIGHLIGHTS OF ACTIVITIES

Throughout fiscal year 1979, Congress, Department of Defense (DoD) managers, and the public have focused on the efficiency and effectiveness of Government operations and the accountability of Government officials to taxpayers. The work of the Defense Audit Service (DAS) has been an important resource for DoD managers in carrying out their responsibilities.

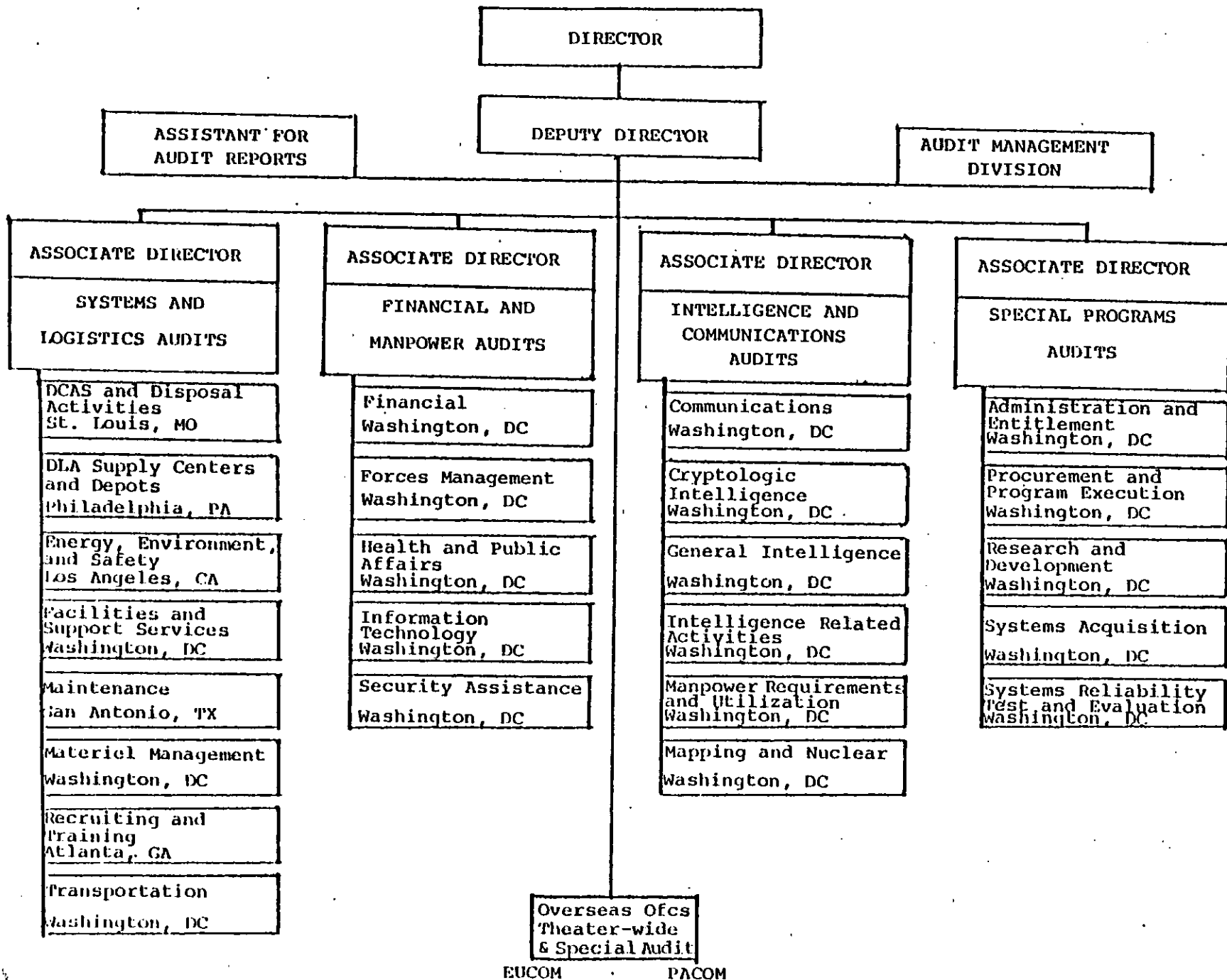
The DAS was officially chartered by DoD Directive 5105.48 in October 1976 following a decision by the Deputy Secretary of Defense in August of 1976 to form an internal audit agency at the Office of the Secretary of Defense (OSD) level. Previously, there have been operational auditors at the OSD level since about 1961 when a small office of 9 or 10 people was formed, initially to emphasize audits in the Security Assistance Program. From that initial responsibility, the areas of coverage have been broadened to include internal audits of OSD, the Joint Chiefs of Staff, the Unified and Specified Commands, and the Defense Agencies; special audits, quick response audits, and interservice audits. The interservice audits were made using auditors from the Office of the Secretary of Defense, the Military Department (Army, Navy, Air Force) audit agencies, and the Defense Logistics Agency.

Because of the continued difficulties in coordinating these audits, OSD decided that it would be more appropriate to have one agency in charge of all interservice audits and Defense Agency audits. This was an evolutionary development covering a period of about 15 years, which culminated in the Deputy Secretary of Defense decision of August 1976 to form the Defense Audit Service.

The Defense Audit Service was established to plan and perform:

- internal audits of the Office of the Secretary of Defense, the Organization of the Joint Chiefs of Staff, the Unified and Specified Commands, and the Defense Agencies;
- interservice audits in all DoD components;
- quick response audits on matters of special interest to the Secretary of Defense;
- audits of the Security Assistance Program at all levels of management; and
- special audits as requested.

DEFENSE AUDIT SERVICE ORGANIZATION CHART



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CHAPTER ONE - HIGHLIGHTS OF ACTIVITIES

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- interservice audits in all DoD components;
- quick response audits on matters of special interest to the Secretary of Defense;
- audits of the Security Assistance Program at all levels of management; and
- special audits as requested.

This mission permits DAS to examine essentially all activities within the Department of Defense. The worldwide commitment of the DoD is why the DAS maintains--in addition to its main office in Washington, DC--7 Field Offices and 4 Field Detachments located in the United States, Europe and Korea.

The "corporate" level audit mission and role of DAS in the DoD community have increased along with the DAS's leadership role in the audit community. Fiscal year 1979 was highly productive in improving DAS's relationships with, and its services to, DoD managers.

ASSISTANCE TO THE DEPARTMENT OF DEFENSE

Although much of our work is self-initiated in contrast to requested, we view all of our work as assisting DoD managers in their missions. We attempt to determine DoD needs so that we can provide timely information that will be useful in the decision-making process and contribute to better government.

Over the past 3 fiscal years, the proportion of our work devoted to direct assistance has increased. In fiscal year 1979 about 46 percent or 67 of the 145 reports issued by the professional staff were requested by Defense officials. A numerical summary of these reports by functional/program area is included as Appendix A. Appendix B highlights the number of installation, self-initiated and requested audit reports issued. A complete listing of reports issued during fiscal year 1979 is included as Appendix C.

Many of these reports recommend actions that we consider necessary to correct problems or improve programs and activities. A summary of our major audit plans, programs, and accomplishments is included in Chapter 2. Chapter 3 presents highlights of financial and other benefits from selected audit reports.

AUDITING

The scope of DAS audits is to determine whether:

- financial operations are properly conducted, financial reports are presented fairly, and the entity has complied with applicable laws and regulations;

- resources, such as people, money, property, space, are managed and used in an economical and efficient manner;

- desired results or benefits of DoD programs are being achieved, objectives are being met, and alternatives are being considered which might yield the desired results at a lower cost.

Our audits encompass all DoD activities and programs. Working locations for the audit staff are worldwide. During fiscal year 1979, we made audits in the United States, Germany, Korea and many other countries throughout the world. At least 150 audits are underway at any given time. The broad program areas of audits underway at the close of the fiscal year were:

	<u>Audits</u>
Financial and Manpower Programs	
Forces Management	8
Health and Public Affairs	5
Financial Management	10
Information Technology	5
Security Assistance	6
	<u>34</u>
Intelligence and Communications Programs	
Communications	9
Cryptologic Intelligence	6
General Intelligence	5
Intelligence Related Activities	5
Mapping and Nuclear	7
Manpower Requirements and Utilization	1
	<u>33</u>
Special Programs	
Systems Acquisition	7
Systems Reliability, Test and Evaluation	2
Administration and Entitlements	8
Procurement and Program Execution	3
	<u>20</u>
Systems and Logistics Programs	
Materiel Management	15
Transportation	4
Facilities and Support Services	10
Recruiting and Training	5
Defense Contract Administration Services and Disposal Activities	4
Defense Logistics Agency Supply Centers and Depots	14
Maintenance	7
Energy, Environment and Safety	6
	<u>65</u>
European Region Programs	
Theater-wide and Special Audits in Europe	<u>8</u>
Pacific Region Programs	
Theater-wide and Special Audits in the Pacific	10
Total	<u><u>170</u></u>

IMPACT OF NEW LEGISLATIVE ACTIONS ON DAS OPERATIONS

Legislative actions of Congress continue to result in assignment of new responsibilities to DAS. These new responsibilities include administrative type reporting requirements and requirements to make audits of certain DoD programs. Examples of important new legislative actions in fiscal year 1979 affecting DAS follow.

Public Law (PL) 95-452 (October 12, 1978). This law establishes an independent "Office of the Inspector General" in 12 civilian Departments. In the Department of Defense, PL 95-452 requires the Secretary of Defense to submit to Congress semiannual reports for the period October 1, 1978 through October 1, 1982, summarizing the activities of the audit, investigative, and inspection units of DoD. Such reports shall be submitted within 60 days of the close of the reporting periods ending March 31 and September 30, and shall include, but not be limited to:

- A description of significant instances or patterns of fraud, waste, or abuse disclosed by audit, investigative, and inspection activities during the reporting period and a description of recommendations for corrective action made with respect to such instances or patterns;

- A summary of matters referred for prosecution and of the results of such prosecutions; and

- A statistical summary, by categories of subject matter, of audit and inspection reports completed during the reporting period.

DAS submitted its initial semiannual report on April 30, 1979, covering the first 6 months of fiscal year 1979. A second semiannual report covering the last half of fiscal year 1979 was submitted in October 1979.

Report of the Committee on Appropriations, Fiscal Year 1979 DoD Appropriation Bill. The committee found it particularly disconcerting that there were so many overpriced items in the Defense supply system. To better determine the extent to which a pricing problem exists and to identify needed improvements in the current policies of the Military Departments and Defense Agencies, the committee recommended that DAS perform an audit of pricing policies.

Report of the Committee on Armed Services, Fiscal Year 1979 Military Construction Authorization Act. The committee was concerned about how effective the energy conservation investment program was functioning at Reserve activities and family housing projects. The committee recommended that an audit of the energy conservation investment program be made.

SAVINGS AND OTHER ACCOMPLISHMENTS

It is not possible to determine the full effect of DAS audits in terms of financial savings, improvements in operations, and increased effectiveness of programs and activities. However, DAS attempts to determine potential benefits attributable to its work which, by implementing our suggestions and recommendations, may result in dollar savings or other benefits to the Department of Defense.

For fiscal year 1979, DAS identified potential estimated savings of about \$1.4 billion. About \$979 million of this was nonrecurring and about \$383 million was recurring. Savings resulting from management improvements many times cannot be measured accurately. Also, some improvements make programs work better, but not cheaper. Such improvements are often more important than actual financial savings.

OPERATING EXPENSES

The fiscal year 1979 total operating expenses for DAS were \$13.8 million. Personnel compensation and benefits comprised \$11 million or 80 percent of total expenditures, while travel and other items comprised 13 percent and 7 percent respectively.

STAFFING

Our greatest asset is the competence, dedication, and enthusiasm of our staff. As of September 30, 1979, we had 369 employees. Of these, 339, or about 92 percent, were members of our professional staff.

Analysis of Staff Changes

	<u>Professional</u>	<u>Other</u>	<u>Total</u>
Employees on rolls as of			
October 1, 1978	329	40	369
Appointments	46	11	57
Transfers between categories	1	-1	0
Total	<u>376</u>	<u>50</u>	<u>426</u>
Separations:			
Retirements	4	1	5
Transfers to other agencies	29	15	44
Other separations	4	4	8
Total separations	<u>37</u>	<u>20</u>	<u>57</u>
Employees on rolls as of			
September 30, 1979	<u>339</u>	<u>30</u>	<u>369</u>

Our diverse and complex responsibilities require staff members to have functional expertise, supervisory capability, and versatility. DAS has 311 employees with a bachelor's degree and 74 with a Master's Degree. Also, 87 professionals are certified internal auditors; 36 are certified public accountants; and 13 are certified data processing auditors. Professional staff members can get wide experience and broaden their own perspectives of Government operations by auditing diverse Defense programs, or they may remain in a functional area to expand their expertise. We consider DAS needs, as well as the individual's, in making staff assignments.

Our equal opportunity employment profile continued to improve as we hired, trained, and promoted minorities and women, who now comprise about 25 percent of our work force.

PROPOSED LEGISLATIVE ACTIONS AFFECTING DAS

Public Law 95-452 required the Secretary of Defense to establish a task force to study operations of the audit, investigative, and inspection components in DoD which engage in the prevention and detection of fraud, waste, and abuse. By April 1, 1980, the task force is required to submit a report to the Secretary of Defense, the Director of the Office of Management and Budget (OMB), and Congress. The report must cover, but not be limited to:

- descriptions of the functions of audit, investigative, and inspection components in DoD and the extent to which such components cooperate in their efforts to detect and prevent fraud, waste, and abuse;
- evaluations of whether such components are sufficiently independent to carry out their responsibilities;
- relationships among the components and the Criminal Division of the Department of Justice; and
- recommendations for change in organization or functions that may be necessary to improve the effectiveness of the components.

The Director and senior staff members of DAS have met with the task force. In addition, considerable written input on DAS operations was provided to the task force. The recommendations of the task force are expected to have a significant impact on the future operations of the audit, investigative, and inspection components of the Department of Defense.

CHAPTER TWO - SUMMARY OF MAJOR PLANS, PROGRAMS AND ACCOMPLISHMENTS

This chapter summarizes the major plans, programs and accomplishments of DAS during the fiscal year ended September 30, 1979. Organizational changes, audit priorities and emphasis, new audit techniques and approaches, research and training, management receptiveness to audit, and utilization of audit results and significant audit accomplishments are discussed.

ORGANIZATIONAL CHANGES

During fiscal year 1979, major organizational changes were made in the Defense Audit Service.

- Mr. Frank Sato left on May 11, 1979 to become the Inspector General of the Department of Transportation. Mr. Clement E. Roy was appointed the Director, Defense Audit Service effective June 3, 1979.

- The San Francisco Regional Office and the Mechanicsburg and Dayton audit sites were officially closed.

- The closing date (July 1, 1980) for the Dallas Regional Office was announced. This office will be reestablished during fiscal year 1980 in San Antonio as the San Antonio Field Office.

- The term "Regional Office" was replaced by the term "Field Office" for our major field audit sites and by the term "Field Detachment" for our smaller field sites. The DAS field organization now consists of 7 Field Offices (Philadelphia, Atlanta, St. Louis, Los Angeles, San Antonio, Pacific, and European) and 4 Field Detachments (Norfolk, Columbus, Denver and Korea).

- The functional program areas within DAS were redefined and realigned among the 4 operating divisions. Twenty-six major functional areas (Appendix H) were defined and each area was assigned to a GS-15 Program Director. Responsibility for 19 of these functional areas was assigned to Program Directors in the 4 Main Office operating divisions. The remaining 7 functional areas were assigned to the Field Office Program Directors.

AUDIT PRIORITIES AND AUDIT EMPHASIS

Congressional concern over abuse of civilian overtime in Government Agencies resulted in DAS conducting audits of civilian overtime in all Defense Agencies. In addition, DAS emphasized audits in other areas where fraud, waste, and abuse could occur. These areas include the DoD food service program, procurement and contract administration in Defense agencies and benefits received by military retirees and their survivors from both the Military Departments and the Veterans Administration.

NEW AUDIT TECHNIQUES AND APPROACHES

DAS auditors and audit managers continue to strive for improvement in the quality of their audit products through use of new and innovative audit techniques and approaches. An example of new approaches used is demonstrated by our review of retired military pay. There are about 1.2 million military retirees or retirees' survivors receiving retired pay from DoD. Some of the retirees or their survivors are also compensated from the Veterans Administration. A complete reconciliation of Veterans Administration payment records with the Uniformed Services had never been accomplished. DAS, using advanced Automatic Data Processing (ADP) audit techniques and with the cooperation of the Veterans Administration, was able to make a complete reconciliation of the payment records. This reconciliation highlighted numerous problems in retired pay. Because of these problems, DAS has initiated a number of follow-on audits, such as readjustment and severance pay. In addition, the results of our audits are being coordinated with the Veterans Administration.

RESEARCH AND TRAINING

The Defense Audit Service continued to emphasize professional development. DAS provided almost 2,400 man-days of training to its staff in fiscal year 1979.

This year's training program included internally managed courses for auditor interns, junior and senior auditors, audit managers and executive personnel. Subjects included audit standards, principles, and techniques, as well as DAS policies and procedures. The in-house training was supplemented by courses from other Government and commercial activities. This additional training included both general and functional courses such as, "Written Communications" and "Systems Acquisition Policies in DoD," respectively.

Our executive development program included graduate courses, review courses for professional certification, and a variety of conferences. DAS sponsored 5 graduate level management and public administration courses during the year and about 20 auditors attended review courses to prepare for the Certified Public Accountant Examination. Selected auditors attended seminars, conferences, and workshops sponsored by The Institute of Internal Auditors, American Association of Accountants, and the Association of Government Accountants. A list of the courses attended by DAS personnel in fiscal year 1979 is attached (Appendix G).

DAS also encourages all of its staff to participate in individual development programs and professional societies, and to attain advanced degrees and professional credentials and certification. When the training is job related, DAS pays one-half of the cost of tuition and books for courses offered in nongovernment facilities.

MANAGEMENT RECEPTIVENESS TO AUDIT AND UTILIZATION OF AUDIT RESULTS

DAS audit reports in fiscal year 1979 gained the attention of top officials in DoD as well as various congressional committees. Virtually every major staff element of the Office of the Secretary of Defense has requested DAS to perform an audit in their area of responsibility and many DAS audit reports were cited in congressional reports. DAS reports are prepared on some of the most controversial subjects in DoD and the reports have helped the users to effectively improve management of DoD programs. Even when managers nonconcur in some audit recommendations, the audit findings and results are often useful to DoD officials in seeking alternative solutions to management problems.

SIGNIFICANT AUDIT ACCOMPLISHMENTS

Audit reports issued during fiscal year 1979 resulted in both significant monetary benefits as well as improvements in operations and effectiveness of DoD activities. The potential measurable benefits attained or that could result from actions taken or planned as a result of recommendations in our reports were estimated at \$979 million (nonrecurring) and \$383 million (recurring).

Our operational costs for the fiscal year were \$13.7 million. Therefore, the potential monetary benefits from the audit effort were about \$99 for every dollar spent on audit resources. A listing of the FY 1979 reports with estimated monetary benefits by program/functional area follows:

<u>Program/Function</u>	<u>Estimated Savings (millions)</u>
<u>Health and Public Affairs</u>	
79-060 Improvements in administration of non-availability statements (nonrecurring)	\$2.0
79-100 Consolidating DoD motion picture production facilities (recurring)	.6
<u>Financial Management</u>	
79-041 Improving the processing of contractors' invoices to take advantage of discounts (recurring)	.9
<u>Information Technology</u>	
79-040 DoD exercise of accrued purchase credits on computer equipment leased by Defense contractors (nonrecurring)	100.0

79-162 Improved management of technologically
obsolete computers in DoD (nonrecurring)
Elimination of parallel ADP management
information systems (nonrecurring) 2.0

Security Assistance

79-035 Government-furnished material applied
to Foreign Military Sales items were
not billed to the foreign governments
(nonrecurring) 2.0

79-049 Collection of administrative fees would
increase revenues (nonrecurring) 5.0

79-064 Improving the Defense Logistics Agency
budget estimate and subsequent billings
for FY 1978 administrative costs (non-
recurring) .5

79-112 Dedicated training costs for FYs 1977 and
1978 were underbilled (nonrecurring) 1.0

Communications

79-022 Controlling long distance telephone calls
in the Norfolk area--Navy (recurring) .1

79-031 Reducing duplication in the Military Depart-
ments by controlling software development for
the Worldwide Military Command and Control
System ADP Program (recurring) 10.2

79-067 Use of minicomputers in lieu of large main-
frame computers for automated message hand-
ling systems--Army and Navy (nonrecurring) 40.0

79-096 Cancellation of the product improvement
program on the proposed Army Troposcatter
radio system--Army (nonrecurring) 32.0

Mapping, Nuclear and Ammunition

79-069 Demilitarization of ammunition and ex-
plosives would eliminate the need to
construct additional storage magazines
(nonrecurring) 65.5

Research and Development

79-024 Cancellation of Army procurement of radio
transponders because onhand equipment
is suitable (nonrecurring) 7.6

79-043 Excess communications equipment for the Mark XII system could be used to satisfy foreign military sales requirements (non-recurring) 1.6

Administration and Entitlements

79-093 Absence of correct data contributed to improper payments in disability compensation (recurring) 6.2

79-119 Administrative procedures ineffective in preventing survivor benefit plan premiums from being delinquent (nonrecurring) 3.5

79-124 Insufficient care in processing data for retiree entitlement computations (nonrecurring) 5.9

Materiel Management

79-140 Stock war reserves in accordance with established DoD criteria (nonrecurring) 503.0

79-039 Improved cash management in the acquisition of fuel and cost-effective payment priorities (recurring) 17.0

Transportation

79-025 Closing some military air passenger terminals, reducing operations at others, decreasing personnel strengths, and curtailing questionable operations (recurring 17.4 and nonrecurring 17.5) 34.9

79-052 Chartering more economical aircraft, using cost-favorable aerial ports, reducing the number of unused seats on chartered aircraft and minimizing use of costly commercial service (recurring) 52.9

79-108 Expanded use of the commercial bill of lading for shipments with shipping charges of \$100 or less (recurring) 1.6

79-111 Correcting certain uneconomical procedures inherent in the Worldwide Aeromedical Evacuation System and reducing the C-9 flying-hour program and the number of pilots assigned to authorized levels (recurring 16.4 and nonrecurring 2.1) 18.5

79-122 Strengthen the procedures and controls for distribution of less-than-truckload freight

to highway carriers by the Defense Depot,
Tracy, California (recurring) .4

Facilities and Support Services

79-048	Consolidate printing and duplicating facilities and reduce staffing of these operations (recurring)	10.0
79-059	Better planning to increase the use of Reserve and Guard facilities and to improve the military construction program for the Reserve components (recurring 4.0 and non-recurring 33.0)	37.0
79-076	Apply Air Force staffing criteria to Navy auxiliary air fields and cancel a military construction project (recurring 1.0 and non-recurring 2.0)	3.0
79-130	Cancel plans to replace ESCAPAC ejection seats and upgrade the existing seats (nonrecurring)	87.0
79-127	Reduce investments in war reserves of construction and related civil engineering equipment stored in the continental United States and cancel a military construction program (recurring 2.0 and nonrecurring 2.0)	4.0
79-134	Cancel military construction projects at the Defense Construction Supply Center (nonrecurring)	3.0
79-141	Gas turbine propulsion system training facility could use simulators rather than operational equipment (nonrecurring)	61.0

Defense Logistics Agency Supply Centers and Depots

79-081	Using standard medical materiel in the supply system in lieu of local purchase and using DoD facilities in lieu of commercial maintenance and repair of medical equipment (recurring)	1.4
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Defense Contract Administration Services and Disposal Activities

79-091	Reducing fees and indirect/overhead cost when special test equipment is acquired by contractors for DoD contracts; collecting rent for use of Government-owned special test equipment on commercial contracts; and	
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eliminating unnecessary storage cost charged
by contractors by disposing of unneeded and
obsolete special test equipment (recurring) 13.5

Maintenance

79-086 Reducing power usage on DoD aircraft
(recurring) 196.0

79-087 Improving maintenance of motor vehicles,
major computer systems, and production
equipment at the Defense Mapping Agency
(recurring) .3

Energy, Environment and Safety

79-019 Using fire protection practices which have
proven effective in one or more of the
Military Departments and at commercial
airports (recurring) 31.0

CHAPTER THREE - HIGHLIGHTS OF FINANCIAL AND OTHER BENEFITS

The Defense Audit Service issued 145 audit reports during the year. With respect to benefits, the reports can be categorized as resulting in (1) measurable potential financial benefits, (2) potential financial benefits that are not readily measurable, and (3) benefits other than financial. Highlights of selected reports by category follow.

MEASURABLE POTENTIAL FINANCIAL BENEFITS

Many important measurable financial benefits could accrue to DoD if DAS' recommended actions were implemented. A synopsis of selected reports in this category follows.

Selected Aspects of Workload Management at Military Hospitals. In this report, several areas were discussed where improvement in the management of military hospitals would be beneficial. The hospitals were not ensuring that authorizations granted for use of Civilian Health and Medical Program of the Uniformed Services (CHAMPUS) were justified in 26 percent of the cases we reviewed. The potential CHAMPUS cost for the care involved in the cases we questioned was about \$2 million for the 6 hospitals we visited. The Services' methods of determining staffing resulted in different numbers of physicians for a given workload and the estimates of numbers of beneficiaries used to determine workload were overstated. The Military Departments generally concurred in our recommendations.

Administrative Control of Funds, Defense Personnel Support Center, Philadelphia, Pennsylvania. Internal controls over the processing of stock fund transactions were inadequate to prevent or disclose erroneous or fraudulent payments. Outstanding obligations were not validated. The differences between unliquidated obligations reported to higher authority and the balances recorded in the subsidiary accounting records totaled almost \$400 million. Unsupported transactions and adjustments were processed, and required reconciliations were not performed. There were apparent overobligations and violations of Section 3679, Revised Statutes, involving FY 1976 Operations and Maintenance funds. More timely processing of contractors' invoices involving discounts could save an estimated \$900,000 annually. Similar conditions concerning the lack of adequate accounting procedures were reported in June 1976 by the Defense Logistics Agency Auditor General.

Management of DoD Investment in Contractor Leased Automatic Data Processing Equipment. Reviews at 6 of 105 Defense contractors showed that DoD had not attempted to obtain the rights to accrued purchase credits on leased computer resources in accordance with the Federal Procurement Regulation. Better DoD policy guidance and procedures were needed to recognize, report, and manage DoD's

interest in contractor leased computer resources. We could not accurately determine how much future costs could be reduced if DoD exercised its options to buy the equipment when no longer needed for the DoD contracts. However, we believe that up to \$100 million could be saved.

Interservice Audit of Government-Furnished Materiel Applied to Foreign Military Sales Items. A sample of \$5.1 million of Government-furnished materiel applied to foreign military sales items indicated that about \$2.0 million was not billed to the foreign governments. The sample results could not be projected because the total amount of materiel furnished to contractors under the Military Standard Requisitioning and Issue Procedures system is unknown. DoD is studying the feasibility of billing foreign military sales customers on the basis of materiel listings.

Automated Message Handling Systems - Telecommunications Oriented. Potential savings of about \$40 million and enhanced operational capabilities could be achieved by selection of the Air Force automated message handling system concept as the standard for Joint Service use. The Air Force system uses minicomputers and incorporates an advanced hardware and software design. The Army and Navy planned to continue to deploy conventional, large mainframe computers. We recommended that these computers be phased out in favor of the Air Force system concept which is considerably less expensive and has greater capabilities. Management agreed that current technology favors the use of minicomputers but thought that it would be premature at this time to designate the Air Force concept as the standard. However, they indicated that interim action would be taken to limit further deployment of current systems.

Department of Defense Voice Security Programs. The purpose of the audit was to evaluate the effectiveness of the National Security Agency and Military Departments in developing and acquiring voice security for critical tactical radios by 1982 and eventually all military voice communications. The review showed that worthwhile improvements could be made in the management of voice security programs to overcome the critical shortage of voice security devices existing within U.S. combat forces. The absence of a project management reporting system resulted in cost overruns of \$22 million and expenditures of \$10 million for equipment that did not meet security standards. Also, because the Military Departments had not coordinated their voice security plans, requirements were not accurately identified and communications interoperability problems increased the risk of exploitation by hostile forces. Management agreed that detailed secure voice implementation plans should be developed and certain areas required additional management emphasis. However, they generally disagreed with the recommendations.

Audit of the DoD Scientific and Technical Intelligence Production Program. Sufficient management controls had not been established

to ensure that the production program was supporting valid intelligence requirements. About 62 percent of the production tasks and 78 percent of the production requirements referenced in the tasks were not validated for at least 4 years. In addition, originators of requirements for intelligence support were not provided with sufficient or timely intelligence data, and were not consulted about specific intelligence needs prior to development of needed products. As a result, many customers indicated that the products they received did not completely meet their needs, were of little use, or were not needed. Management concurred in our recommendation to establish sufficient management controls and to provide originators of requirements with sufficient data.

Defense Attache System. The review showed that the Defense Attache System was performing its overall mission in a satisfactory manner. Three areas in which improvements could be made to achieve greater management efficiency were identified. First, criteria and procedures were not established for managing the aircraft inventory valued at \$9.6 million and costing \$1.3 million annually to operate. Neither we nor the attache managers could determine from existent information the propriety of aircraft initial assignments, continued retention, and current stationing. Second, intelligence information reports were not being processed in accordance with established procedures. As a result, high priority requirements were not satisfied. At the same time, the attaches spent about half their efforts, at a cost of \$1.4 million annually, to prepare reports from material already available to analysts or in other than intelligence or intelligence-related functions. Third, the responsibility for management of emergency and extraordinary expenditures for maintenance of attache quarters was fragmented. Minimum usage expectations were not met during the 15-month period covered by the review for 49 attache quarters on which more than \$146,500 of emergency and extraordinary maintenance funds were expended. Because of the fragmented responsibility, regulatory provisions that provided for withdrawal or reduction of maintenance funds were not invoked. Management disagreed with our recommendations to better manage aircraft inventories and emergency and extraordinary maintenance funds. Management concurred that information reports were improperly processed.

Adequacy of Inventory and Accounting Controls Over Conventional Explosives. The audit showed that inventory and accounting controls over conventional explosives were ineffective. We physically inventoried 35 percent of the 44.8 million grenades, mines, and demolition charges on hand. We found inaccuracies in the custodial and/or accountable records involving 1.5 million items. Physical security at some major storage depots and installations was inadequate; and, in our opinion, unauthorized access to sensitive areas was possible. More than 108,000 short tons of ammunition and explosives awaiting demilitarization occupy about 1.8 million square feet of prime storage space. Demilitarization

of this stock could result in potential construction savings of about \$65.5 million. Also, at one Army ammunition plant we visited, more than 8,600 pounds of TNT were lost in production during a 4-month period. Management stated that the findings and recommendations would be reviewed with the Services and necessary corrective action would be taken.

Tactical Fighter Aircraft Requirements. The Services had not used uniform methods and planning factors to compute aircraft requirements and had not revised projected requirements as experience showed that initial estimates could be refined. Considering the cost involved, the justification for the quantities of aircraft included in the procurement programs of the Services should be completely documented and thoroughly evaluated before current acquisition plans are fully implemented. Our review showed that aircraft valued at \$5.22 billion may not be needed for the purpose stated by the Services. Management generally concurred in the report recommendations.

DoD Other Procurement Program Execution. There has been increasing concern within Congress, the Office of Management and Budget, and the Executive Office of the President that DoD has not been obligating and expending appropriated funds as planned. Since FY 1976, obligations and outlays have lagged behind estimated rates. As a result, funds have lapsed because they were not obligated within specified time frames.

We focused our review on the communications and electronics portion of the FY 1977 Other Procurement Appropriation. Review of 36 communications and electronics programs that had an approved value of \$1.1 billion showed that, because of difficulties in forecasting and validating requirements prematurely, 57 programs had obligation shortfalls in FY 1977 of \$250 million. We also found that 2 obligation forecasts existed: one at the Military Departmental headquarters level that was primarily negotiated with the Office of the Secretary of Defense and a second, more detailed forecast developed by the Services' program management offices. Differences that generally could not be reconciled existed between these 2 forecasts.

Retired Military Pay, the Department of Defense and the Veterans Administration. The absence of correct data contributed to improper payments of about \$4.8 million in disability compensation, dependency and indemnity compensation, and payments to widows under the Minimum Income Provisions of the Uniformed Services Survivor Benefit Plan. Also, overstated entitlements could result in additional improper payments of \$6.2 million. DoD and Veterans Administration officials agreed that improvements could be made in operating procedures for payments to military retirees and survivors.

Retention and Transfer of Materiel Assets. The mechanized procedures used by DoD components for making stock retention decisions were not based on true economic criteria. Demand data available to wholesale managers were not adequate as a sole basis for retention decisions. Computations were distorted in favor of disposal because the cost-to-hold factors used were unrealistically high. As a result, the established procedures were widely ignored; and special disposal programs were undertaken to eliminate inactive inventories. Because requisitions were received for many items after the items were sent to disposal, more stocks were bought to fill the new demands.

DoD did not have a shortage of warehouse space that would necessitate inventory disposal. The criteria used in most disposal decisions were not designed to free storage space.

The shortcomings in available demand data were largely beyond the control of the wholesale management activities. Several of the contributing factors could not be readily overcome. Since the cost to hold the materiel was actually very low, we concluded that the DoD retention policy should be modified to permit retention of ready-for-issue materiel if a foreseeable need exists. The Military Departments concurred in our recommendations, but the Defense Logistics Agency had some reservations concerning the recommended solutions.

Military Airlift Command Air Passenger Terminals. One-time savings estimated at \$17.5 million and recurring annual savings estimated at \$17.4 million could be achieved by closing unneeded Military Airlift Command air passenger terminals, reducing operations at other terminals, and discontinuing predeparture customs inspections of passengers. The auditors recommended that the Assistant Secretary of Defense (Manpower, Reserve Affairs and Logistics) direct the Military Airlift Command to close 4 military air passenger terminal facilities and reduce the size (manpower and operations) of 5 others. The Secretary of Defense has since closed the Norton air passenger terminal and tasked the Air Force to reflect in the FY 1981 Program Objective Memorandum a plan that addresses consolidation and/or closure of the other 15 major air passenger/cargo terminals operating in the continental United States and overseas.

Utilization and Construction of Reserve Forces Facilities. The audit showed that improved planning of Reserve facilities would result in better use of the facilities. The audit also showed that the construction program needed improvement. Consolidation of construction requirements, as well as changes in construction criteria, could save DoD an estimated \$33 million in one-time savings and about \$4 million in recurring savings annually. The report contained 19 recommendations to improve the construction program for Reserve Forces facilities. The Deputy Assistant Secretary of Defense (Installations and Housing) was considering

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these recommendations and had not commented on the audit report when this report was prepared.

DoD Medical Materiel Support Program. The procedures and practices used by selected health care activities did not ensure that medical materiel was procured and maintained at the lowest cost. Medical materiel was purchased locally by Army and Navy medical activities although the materiel was available at a lower cost through the Defense supply system. Annual savings of about \$1.25 million could have been realized if such materiel had been obtained from the Defense supply system. Inappropriate local procurements were made because supply catalogs were inadequately screened, local purchase items were coded erroneously, and local supply records were inaccurate. Management concurred in our findings and recommendations.

Use of Contractors for Specialized Skill Training. The Defense Audit Service reviewed the Department of Defense and Service policies and procedures governing the use of contractors to train military personnel. In FY 1979, Specialized Skill Training exclusive of student salaries, will account for about \$1 billion of the total \$5.9 billion program for training military personnel. The \$1 billion being spent on instructors and facilities to provide military personnel specialized skill training warrants comprehensive evaluation of the alternatives to in-house operations. To date, the Services have not aggressively pursued the alternatives of contracting with the private sector, or obtaining the training from civil agencies of the Government. Therefore, we believe OMB Circular A-76 should be implemented by the Office of the Secretary of Defense, with specific policy guidance to the Services, emphasizing the requirements for assessing alternative sources of specialized skill training instruction to reduce costs and to get the best use of military personnel in the active forces.

Government-Owned Special Test Equipment Retained by Defense Contractors. The Defense Audit Service reviewed procedures and controls over Government-owned special test equipment in the possession of Defense contractors. About one-third of this type property reviewed at 19 contractors was erroneously classified (\$104 million of \$297 million). Additional procurement costs to the Government, estimated at \$13 million, were incurred; and competitive advantage was given to some contractors because Defense Acquisition Regulation (DAR) procedures for technical review and acquisition were not being followed. In addition, rent was sometimes not being collected for use of this equipment on commercial contracts. The auditors also found that unnecessary storage costs were being incurred because proper disposition action was not taken for idle and obsolete equipment. Government-owned special test equipment in the possession of all Defense contractors was estimated at \$2.4 billion. The Deputy Under Secretary of Defense, Research and Engineering (Acquisition Policy) directed that the

Military Departments and the Defense Logistics Agency take corrective action on the conditions disclosed by the audit.

Reduced Power Usage on Department of Defense Aircraft. DoD could save about \$196 million annually in engine maintenance and fuel costs (1977 prices) if the reduced power concept was fully exploited in terms of the development and implementation of a DoD policy to promote wider use of reduced engine power in the operation of DoD aircraft. Engine power reductions practiced by commercial airlines during takeoff and climb in past years resulted in a substantial reduction in engine maintenance and fuel savings. The Navy and Air Force supported a reduced power policy but the Army disagreed with our recommendations.

DoD Fire Protection Services. The audit report contained 11 recommendations related to improving military fire protection policy and practices. Savings estimated at \$31 million could be realized without compromising safety if all Military Departments were to use fire protection practices which have been proven effective in one or more of the Services and at commercial airports. The estimated savings could be achieved through improved personnel management practices, elimination of unnecessary rescue equipment, and consolidation to eliminate unnecessary fire departments. The Deputy Assistant Secretary of Defense (Energy, Environment and Safety) advised the Defense Audit Service that his office would develop, on a priority basis, guidance for fire protection services. Moreover, the Deputy Assistant Secretary of Defense (Installations and Housing) was proceeding with planned consolidation of fire departments. Many of the recommendations in the report should be resolved after this policy guidance is issued.

POTENTIAL FINANCIAL BENEFITS NOT READILY MEASURABLE.

Many important recurring or nonrecurring benefits result from our work, but the resultant benefits cannot be fully or readily measured. A synopsis of selected reports in this category follows.

Reductions to Army and Air Force Veterinary Corps. We recommended that consideration be given to assigning veterinary responsibilities on an area basis and that some functions performed by veterinarians be transferred to technicians. We also recommended that military personnel stationed in the United States be required to have their pets treated by civilian veterinarians. This should result in a need for fewer veterinarians.

Centralization of Accounting and Disbursing Functions in the Washington, DC Metropolitan Area. The 12 Defense agencies and activities located in the Washington, DC metropolitan area used a variety of in-house and support arrangements to provide financial management and administrative fund control for about \$2.8 billion of FY 1978 appropriated funds. Annual operating costs for the 12 accounting systems were estimated at \$5.8 million, including

pay and benefits of about \$4.1 million for 219 in-house accounting personnel.

We recommended assessing the feasibility of establishing a central finance and accounting office to support those Defense agencies and activities where it would be most beneficial and cost-effective. Financial benefits could be realized through reductions in the number of personnel required to operate a centralized system. Centralization could also result in other benefits such as: reducing the number of accounting systems to be documented and approved, improving management reports, improving controls to preclude violations of Section 3679 of the Revised Statutes (31USC665), and eliminating problems encountered in support arrangements.

Accounting Procedures and Document Controls at the Security Assistance Accounting Center. We reviewed the collection policies and procedures, the use of holding accounts, and the control of documents affecting foreign military sales orders at the Security Assistance Accounting Center. Foreign countries paid only about one-half of the quarterly foreign military sales bills by the due date. Holding accounts were not specifically authorized in current accounting policy. Standard procedures had not been established to control supporting documents pertaining to about 16,600 active foreign military sales cases. Required documents were missing and responses to financial inquiries could be delayed. We made three recommendations. First, that follow-up action be initiated on unpaid bills at the earliest practical time after the billing due date. Second, that a determination be made as to whether holding accounts should be authorized or discontinued in the Foreign Military Sales Trust Fund and guidance be issued on the management and disposition of the accounts. Third, that internal operating procedures be developed for maintaining hard copy foreign military sales case records.

Fund Controls and Delivery Reporting for Foreign Military Sales. We reviewed the adequacy of controls for ensuring that all deliveries are accurately and promptly reported to the Security Assistance Accounting Center (SAAC). Significant quantities of materiel had been shipped for periods ranging from 2 to 22 months, but had not been reported to the SAAC. The primary cause of failure was that the automated requisition files and the systematic follow-up procedures were inadequately maintained. We recommended that automated requisition files be purged and follow-up procedures be instituted to determine the actual status of past-due deliveries.

Resource Management of Remote Terminals - National Security Agency. The purpose of the audit was to evaluate the management of \$15.6 million of Government-owned and \$3 million of leased remote terminals used in connection with automatic data processing systems installed at the National Security Agency (NSA). The audit showed that management of automatic data processing plans was fragmented. As a result, 2 resource management systems were being developed separately at a cost of \$6.3 million. NSA had not established a focal point to evaluate this potential overlap or duplication of these systems. Also, 200 terminals being leased by the Agency at an annual cost of \$460,000 could be eliminated through consolidation of user requirements. The operations and maintenance budgets for leased terminals for FY 1978 and FY 1979 were overstated by \$3.8 million because Agency budgets were not adjusted to conform to current planning actions. In addition, over \$850,000 of automatic data processing equipment was not recorded on property records or was missing.

DoD Requirements for Antiarmor Weapon Systems. Our survey showed that DoD did not determine optimum mix and quantities of antiarmor weapon systems. The Army and Air Force separately computed and structured, and DoD approved, antiarmor weapon systems' force requirements without fully considering each Service's contribution to the combined antiarmor mission. Expenditures of about \$30 billion, through program completion, were programmed to improve and procure new weapon systems such as the XM-1 tank, advanced attack helicopter, and A-10 close air support aircraft. The Office of the Assistant Secretary of Defense (Program Analysis and Evaluation) was generally aware of these shortcomings and was attempting to address these issues in a series of planned studies.

Defense Inactive Item Program (DIIP). We reviewed the DIIP to determine if Department of Defense components were eliminating unneeded items from inventories and active catalog files. Overall, we found the program ineffective because Defense components had either not implemented it or were applying it poorly; and top level management did not have an effective reporting system to detect the lack of results. Of 1.1 million items managed by the Service activities visited, we conservatively estimated that 75,000 items were not needed and could have been eliminated if the program had been properly applied. Proper implementation of the Defense Inactive Item Program would: eliminate large numbers of unneeded items from DoD logistics systems, eliminate related administrative and storage costs, and make the administrative effort associated with the program more productive, thus providing a payback.

Retention and Transfer of Materiel Assets. We reviewed the policies and practices used by DoD components for retaining materiel in the supply system. The established procedures were widely ignored and special disposal programs were undertaken to eliminate inactive inventories. Because requisitions were

received for many items after the items were sent to disposal, more stocks were bought to fill the new demands. Since the cost to hold the materiel was actually very low, we concluded that the DoD retention policy should be modified to permit retention of ready-for-issue materiel if a foreseeable need exists. We recommended that DoD policy be revised to require that assets be retained in the wholesale supply system based on the item's potential usefulness rather than its recent demand.

Defense Mapping Agency Aerospace Center - Supply Management. We identified deficiencies in inventory policies and practices within the Supply Division and production departments that required management attention. We identified approximately \$673,000 in excess stocks which accumulated because of relaxed inventory controls and requisitioning practices. We also identified \$456,000 of special level stocks for which future requirements were questionable.

We recommended that excess items which have been reclassified as "hold for attrition" be periodically reviewed for retention by potential users of the items. We also recommended that annual validations be performed by customers for all special levels and consideration be given to eliminating special levels on items which have not had demands in the past 18 months.

OTHER BENEFITS

Some actions taken in response to our recommendations resulted in benefits other than financial. These recommendations were aimed at improving the day-to-day operations within the Department of Defense. A synopsis of selected reports in this category follows.

Eligibility of Recipients of Benefits Under the Civilian Health and Medical Program of the Uniformed Services (CHAMPUS). We could not verify the eligibility of about 18 percent of the CHAMPUS beneficiaries we selected for review. The Defense Investigative Service (DIS), at our request, made an investigation and determined that 46 percent of the beneficiaries they investigated should not have been paid under CHAMPUS. We recommended that DIS arrange to investigate random samples of CHAMPUS claims in the future to possibly deter abuse of CHAMPUS benefits.

Procurement Activities at American Forces Radio and Television Service - Los Angeles. Procedures for negotiating and administering American Forces Radio and Television Service - Los Angeles (AFRTS-LA) contracts for procurement of radio and television programming material needed improvement. The procurement contracting officer had not determined if \$4.2 million paid during FY 1978 for programming material was reasonable. Moreover, negotiation memorandums or other supporting documents to justify the basis for, and reasonableness of, this amount were not available. We also found that purchase orders for supplies and services costing less than \$10,000 were issued without securing competition and

determining that the prices were fair and reasonable. Blanket purchase agreements were outdated and were not adequately controlled. Printing services were being procured from commercial sources without Government Printing Office approval. Additionally, a significant number of formal purchase orders were issued for procurements that could have been procured using the more simplified and administratively economical imprest fund method.

We recommended that negotiation memorandums be prepared for programming material contracts. These memorandums should be the basis for determining fair and reasonable prices. We also recommended that purchase orders in excess of \$500 be supported by competitive quotations or statements as to the absence of determinations of competition and price reasonableness; and that purchases be screened initially to determine if the items are available from Government sources prior to authorizing local commercial procurement.

Administration of Progress Payments in Defense Construction Programs. The Defense Acquisition Regulation (DAR) provided basic guidance for the entire procurement process, including contract administration. Appendix E of the DAR provided for the various forms of contract financing, including progress payments. However, Appendix E did not provide specific guidance for administering progress payments on construction contracts. We found that policies and procedures were not uniform within and between the Military Departments for administering certain aspects of progress payments on construction contracts. Variances found involved the percent of progress payments retained, payments for material delivered to construction sites, and the method used to write off material inventories. As a result of these variances, the best interests of the Government may not have been adequately protected.

We recommended that paragraph 7-602.7(c) of the DAR, "Payments to Contractors," be modified by:

- deleting the first and second sentences, which inferred that the percentage retained on progress payments must be either 10 percent or zero;

- providing for retention of a percentage of progress payments to encourage completion of administrative requirements to enable timely closeout of construction contracts; and

- providing for additional percentage of retention on progress payments during any period in which the contracting officer judges the contractor's performance unsatisfactory.

Also, we recommended that additional guidance be issued which, as a minimum, should specifically cover consideration of materials delivered to construction sites, materials delivered to locations other than the sites, payments for offsite work in process by sub-contractors, and write offs of material inventories.

Improving Controls on Civilian Overtime. Congressional and Executive level interest created a need for increased assurance that civilian overtime payments be properly justified, approved, and paid. To provide this assurance, overtime should be requested in writing, be approved in advance, and approvals be retained to support payments, as well as to provide a basis for review of overtime usage.

We found that procedures and controls within the Office of the Secretary of Defense, Organization of the Joint Chiefs of Staff, Washington Headquarters Services, Defense Communications Agency, and selected Defense Logistics Agency activities needed strengthening to provide assurance that overtime payments were proper. Deficiencies found included: absence of adequate written justification, absence of prior approval, lack of management review, lack of consideration of alternatives, lack of controls to prevent approval of leave during the same day or pay period that overtime was approved, and failure to retain approval forms. Separate reports were issued to each activity reviewed with appropriate recommendations to correct the applicable deficiencies.

Administrative Control of Funds at the Defense Mapping Agency. As of September 30, 1977, about \$3.3 million of invalid and questionable obligations were recorded in Defense Mapping Agency records, and reported in certified financial reports submitted to the Office of the Secretary of Defense. A system of general ledger accounts was not being used to integrate the administrative control of funds system with the accounting system. Thus, financial and managerial control over \$237 million of appropriated funds was not effective. Also, because disbursements made by other activities were not recorded promptly, unliquidated obligations reported as of September 30, 1977, were overstated by about \$3 million.

We recommended: that financial personnel at the Topographic and Aerospace Centers, in conjunction with operating personnel, make comprehensive reviews of unliquidated obligations at least quarterly; that these operating Centers establish a full system of general ledger accounts to integrate the administrative control of funds system with the accounting system; and that all available transactions be recorded and reported promptly in the fiscal year in which the transactions occurred.

Administrative Control of Funds in the Defense Advanced Research Projects Agency. Financial management of Agency funds needed improvement. Deficiencies in financial control and reporting could result in violations of the Anti-Deficiency Act. Official

Agency accounting records maintained by Washington Headquarters Services were so inaccurate and incomplete that the unliquidated obligation balances could not be verified. Further, funds provided to the Agency were not always used in accordance with DoD fiscal guidance. The Agency used current year appropriations to fund contract cost increases that properly should have been charged against the same appropriation cited in the original contract.

Administrative Control of Funds at Field Command, Defense Nuclear Agency. Field Command procedures governing the use of funds, fund availability, and obligational authority needed improvement to preclude violations of the Anti-Deficiency Act. As of July 1978, invalid and questionable unliquidated obligations of about \$2.3 million were undetected and not available for other use. The activity improperly used \$281,602 of procurement funds and \$19,286 of operations and maintenance funds on a construction project having a total cost of \$457,679.

Defense Mapping Agency Overtime Controls. Immediate management attention was needed to improve internal controls and to clarify the circumstances for using overtime. Inadequate procedures and controls contributed to potential overtime abuse and possible fraudulent claims for overtime pay. About \$200,000 in overtime costs could have been avoided if other alternatives were taken to accomplish routine and nonemergency work.

Civilian Payroll and Travel Operations, Defense Contract Administration Services Region (DCASR), Philadelphia, Pennsylvania. Our audit showed that improvements were needed in the internal controls over payroll processing and related functions. Document processing procedures, primarily involving deductions, and distribution controls for checks and bonds should be improved. DCASR procedures for temporary duty and local travel need strengthening, especially those pertaining to approving travel and using Government and privately-owned vehicles.

Administrative Control of Funds, Defense Personnel Support Center. The Defense Personnel Support Center is the DoD integrated manager of subsistence, medical materiel, and clothing and textiles. Annual funding authorizations exceeded \$2.2 billion. We reported that the Center had not established comprehensive accounting and fund administration procedures; and that internal controls were inadequate to prevent or disclose erroneous or fraudulent payments. Accounting records were unreliable; required reconciliations were not performed; significant backlogs of unprocessed transactions existed; and unsupported or improper adjustments were made to the accounting records. Validation of unliquidated obligations had not been accomplished for several years, and differences between the obligations reported to DoD and the balance in the supporting subsidiary records totaled almost \$400 million.

The Defense Personnel Support Center and the Defense Logistics Agency agreed with the findings. With the assistance of other field activities, document files were researched and accounting records reconstructed. Task forces were established to develop comprehensive procedures and institute controls over financial transactions.

Improved Management of Automatic Data Processing Resources. A review of the management of Automatic Data Processing (ADP) resources at the Defense Logistics Agency Systems Automation Center in Columbus, Ohio, disclosed that the expenditure of \$2 million, to acquire a faster more sophisticated computer for the Center was not adequately justified. We concluded that the computer performance evaluation techniques employed did not justify the planned procurement or substantiate that existing resources could not accommodate the Center's projected processing workload. Also, we reported that the Center could increase prime shift use of existing computer resources by at least 40 percent by performing preventive maintenance on nights or weekends, processing nondevelopment programs during periods of low usage, increasing the use of certain minimally-used computer resources and adhering to mission-oriented job processing priorities.

Administrative Budgets for the Ogden Air Logistics Center (ALC) and the Aeronautical Systems Division (ASD). Our review was made to evaluate the validity of the budget estimates for foreign military sales administrative expenses. The FY 1978 foreign military sales (FMS) administrative budgets were overstated by about \$4.1 million due to use of improper acceleration rates and errors in determining manpower authorizations. Personnel requirements shown in the FY 1978 budget were based on projections resulting from a 1976 manpower engineering study. We also noted that the Ogden ALC included in its administrative budget computations those personnel who worked less than 10 percent on FMS, whereas the manpower study at the ASD excluded this group. The Arms Export Control Act requires that the cost of functions conducted primarily for the benefit of any foreign country and not recouped as direct case charges will be recouped as an administrative expense.

We recommended that the criteria in DoD Instruction 2140.1 be revised for personnel to be charged to the foreign military sales administrative budget as follows:

The personnel portion of actual or estimated actual administrative expenses will be costed on the basis of direct work applied.

We also recommended that in the future the Manpower Engineering Teams at Ogden and other Air Logistics Centers perform Security Assistance Program manpower studies before developing foreign military sales administrative budgets.

Administrative Budgets for the Naval Air System Command (NAVAIR) and the Naval Sea Systems Command (NAVSEA). The purpose of the review was to determine whether the Navy was properly recouping foreign military sales administrative costs through the administrative budget process. We observed 2 areas that deserved management attention: the use of contractual services; and the funding of administrative costs incurred at field activities. The use of contractor personnel to augment in-house capabilities to administer the foreign military sales program was of questionable propriety. We believe NAVAIR and NAVSEA used personal services contracts, totaling \$389,000 in FMS administrative funds, to accomplish duties that should have been performed by Government employees. Adequate support was not available for about \$3.7 million of the FY 1978 budget. The lack of support hampered budget execution review.

We recommended: that a special management review be initiated to identify and correct questionable procurement practices; that a review be made of the use of personnel involved in administering the foreign military sales program to ensure that maximum use is made of in-house capabilities; and that future budgets be thoroughly reviewed for mathematical accuracy, adequacy of supporting documentation, and completeness of remarks and narrative.

Management and Use of Sonobuoys. At the request of the Commander in Chief, Atlantic Command we made a review of Navy sonobuoy management to determine whether procedures established for the allocation and distribution of sonobuoys were equitable and permitted flexibility in their use to meet operational, training, and war reserve requirements. The review showed that shortages of sonobuoys anticipated by the Atlantic Fleet could be immediately offset by transfer of unneeded sonobuoy authorizations from the Pacific Fleet. Similarly, the Pacific Fleet, which was expecting a shortage of a different type of sonobuoy, could alleviate its shortage by a transfer of unneeded authorizations from the Atlantic Fleet. Although the immediate problem was corrected, it was evident that Navy sonobuoy management was fragmented and lacked effective coordination among the various managers concerned with procurement, reliability analysis, reporting, requirements, inventory management, and war reserves at Naval Headquarters and the Fleet-user level.

Worldwide Military Command and Control System (WWMCCS) Automatic Data Processing - Mission Support in Europe. As currently configured and managed, WWMCCS automatic data processing provided only limited support to command and control in Europe. This

condition resulted from a lack of policy establishing the parameters within which the system should be used for mission support. Consequently, there was no assurance that the benefits obtained from the system were commensurate with its approximate annual cost of \$13.2 million. We recommended that either the system be used for its intended purpose or funding support be reduced.

National Security Agency (NSA) Remote Terminals Automatic Data Processing (ADP) Security. This audit was made to review the effectiveness of the management of the Agency's ADP security program as it related to remote terminals. Our audit disclosed that due to fragmented management, NSA did not have visibility over existing security problems. The Agency's ADP systems had not been formally approved for processing classified data. Certain personnel with access to sensitive compartmented intelligence data on some systems did not have the necessary security clearances. In addition, remote terminals were not always provided a satisfactory degree of protection against compromising emanations.

Armed Forces Radiobiology Research Institute. We found that the Institute's inventory and accounting policies and procedures pertaining to controlled substances were ineffective. Controls required by regulations had not been established. Frequent security and safety violations were being committed because security and safety procedures were not being enforced by the Institute's officials. The Institute had not been enforcing its policy and procedures for safeguarding laboratory notebooks of scientific research data. We found that 74 of 150 notebooks of former Institute personnel were missing.

We recommended that the accounting, controlling, and dispensing of controlled substances be centralized in accordance with Chapter 21 of the U.S. Navy Manual for the Medical Department. We also advised that researchers using controlled substances in conjunction with research projects be required to account for their laboratory notebooks or some other record for amounts of controlled substances used.

Communications System Control Element for Joint Tactical Communications Systems. Our review showed that the present approach to development of the Communications System Control Element (CSCE) could result in an expenditure of about \$27 million for a system that would lack required hardware processing capabilities. We recommended that development of the CSCE be deferred until a computer system is selected with adequate capacity to meet future operational requirements.

Management of DoD Communications Satellite Programs. There were 8 separate satellite communications programs for which future costs were expected to approach \$1 billion annually. We found that management of these programs was too fragmented to ensure the effective and efficient use of program resources. There was no focal point that possessed the combination of authority and

capability needed to define and enforce policy or to provide cohesiveness to program management. In this environment, the Military Departments tended to overemphasize parochial interests relative to their support of joint programs. We recommended a series of actions that should provide for more centralized program management and more stringent controls over the use of program resources.

Apparent Violation of Section 3679, Revised Statutes, by U.S. Army Claims Service of the FY 1979 Defense Claims Appropriation. U.S. Army Claims Service appears to have violated Section 3679 of the Revised Statutes by overallocating its first quarter FY 1979 apportionment by \$18.6 million. The Claims Service received a total FY 1979 apportionment of \$53.6 million with a first quarter constraint of \$17.1 million. The Claims Service allocated \$36.3 million to its field operating activities. Authorizations were distributed to 175 field operating activities. The activities were advised that the amounts provided represented about 75 percent of their total FY 1979 Defense Claims allocations but quarterly constraints were not specified.

Multiple Membership in Active Reserve. As part of our review of Active Reserve Pay and Membership, we had the records of the Reserve components matched to determine whether there were any members reported in more than one organization. As of September 30, 1978, there were 8,043 reservists who were reported by the Reserve Components Common Personnel Data System as being members of more than one Reserve component (a .6 percent error rate). We determined that these reservists were not actually members of different Reserve components simultaneously. Instead, the records of multiple membership were caused by the gaining components not promptly notifying the losing components that the reservists had been accepted for enlistment. Even after notification, the losing components did not always delete the reservists from their rolls. The average length of reported multiple membership was about 13 months.

Retired Reserve Data Base - Reserve Components Common Personnel Data System. We evaluated the accuracy and utility of the Retired Reserve data base of the Reserve Components Common Personnel Data System. Our audit showed that the retired Reserve personnel data records were inaccurate. Personnel data records were not maintained for about 397,000 members who were retired from active duty but had Service commitments. Also, records were not maintained for enlisted retirees of the Army National Guard who elected to receive discharges rather than be assigned to the Retired Reserve. About 12 percent of retired reservists were incorrectly classified. About 34 percent of the addresses of Retired Reserve personnel were invalid. We concluded that efforts to improve the accuracy of the personnel data records should be concentrated on the members with reasonable mobilization potential. We advised the Services to include information on all bona fide Retired

Reserve members in their input to the Reserve Components Common Personnel Data System. We also recommended that the Services not include data on honorary Retired Reserve members who cannot be mobilized under Section 672(a), Title 10 of the United States Code.

Department of Defense Energy Conservation Investment Program. During the hearings on the FY 1979 Military Construction Appropriation, the House Committee on Armed Services directed the Department of Defense to determine whether the claimed savings of energy and dollars from the Energy Conservation Investment Program were being realized. At the request of the Deputy Assistant Secretary of Defense (Installations and Housing), we made an audit to answer this question.

As a result of our examination the Deputy Assistant Secretary of Defense (Installations and Housing) advised us that his office would:

- establish administrative limitations to restrict the use of funds to energy conservation projects,
- direct Military Departments to monitor projects more closely, and
- establish a reporting procedure for the Energy Conservation Investment Program.

Real Property Construction, Maintenance and Repair Work, Defense Construction Supply Center (DCSC). We made an audit to evaluate policies, procedures, and controls over the construction, maintenance, and repair of buildings and grounds at DCSC. Procedures at the DCSC for processing real property construction, maintenance, and repair projects lacked adequate internal controls; and the project approval process was only perfunctory. As a result, the program was susceptible to fraud; and projects that should not have been performed were approved. The need for \$3 million of the \$6.5 million in projects we examined was highly questionable.

We recommended that procedures for processing real property construction, maintenance, and repair projects be strengthened by requiring written justification and cost benefit analyses for all projects expected to cost over \$1,000 and ensuring that the installation planning board's approval of projects over \$10,000 is based on a review of the merits and cost effectiveness of the work proposed.

Individual Training Resource Reporting Systems. The objectives of the review were to evaluate the consistency among the Services with respect to restructured Program 8-T data and to ascertain the accuracy of the data reported. Our review showed that inconsistent methods were used by the Services for transferring cost data from the FY 1979 Five Year Defense Plan (FYDP) to the FY 1979

Military Manpower and Training Report (MMTR). As a result, for the 2 appropriations we reviewed, there was a net difference of about \$670 million between the individual training costs reported in the FYDP and the MMTR. The methods used also portrayed aggregate individual training cost data for the MMTR, which were not consistent or compatible among the Services.

We recommended that more refined and detailed instructions for preparing the Military Manpower Training Report be issued; and that the Services be required to prepare a summary reconciliation statement by program element of resource data presented in the Military Manpower Training Report and the Five Year Defense Plan. This reconciliation should fully explain differences between the data contained in the 2 reports.

U.S. Atlantic Command Management Policies and Plans for Wartime Resupply Operations. Our review showed that certain resupply and contingency plans did not provide appropriate logistical support for military operations in the Atlantic. Also, a large percentage of supplies scheduled to be transported by air could be transported by ship or prepositioned in strategic locations.

NUMBER OF AUDIT REPORTS ISSUED
DURING FISCAL YEAR 1979

<u>Program</u>	<u>Number</u>
Forces Management	2
Health and Public Affairs	14
Financial Management	28
Information Technology	3
Security Assistance	16
Communications	10
Cryptologic Intelligence	3
General Intelligence	1
Intelligence Related Activities	3
Mapping and Nuclear	2
Manpower Requirements and Utilization	1
Systems Acquisition	2
Research and Development	2
Systems Reliability, Test and Evaluation	2
Procurement and Program Execution	1
Administration and Entitlements	6
Materiel Management	8
Transportation	9
Facilities and Support Services	9
Defense Logistics Agency Supply Centers and Depots	6
Recruiting and Training	3
Defense Contract Administration Services and Disposal Activities	8
Maintenance	2
Energy, Environment and Safety	1
Theater-Wide and Special Audits in Europe	1
Theater-Wide and Special Audits in the Pacific	2
 Total	 <u>145</u>

SUMMARY OF INTERNAL AUDIT REPORTS BY TYPE OF AUDIT SERVICE		Name of Agency Defense Audit Service Fiscal Year 1979	
SECTION I			
CLASSIFICATION OF AUDIT REPORTS	Number Reports Issued	Direct Man- Years	Number Distrib. OSD
<u>Installation or Activity (Initiated)</u>			
Regular	22	18.2	
<u>Total</u>	22	18.2	
<u>Coordinated Audits (Initiated)</u>			
Regular	56	101.1	
<u>Total</u>	56	101.1	
<u>Requested Audits</u>			
	67	89.6	
<u>Total</u>	67	89.6	
<u>Requested by OSD and Others</u>			
<u>Total</u>			
<u>Consultant Services</u>			
<u>Total</u>			
<u>Total Reports Issued</u>	145	208.9	

AUDIT REPORTS ISSUED DURING FISCAL YEAR 1979

Forces Management

Armed Forces Capabilities to Evacuate and Care for Combat Casualties in the European Theater. 79-016, November 29, 1978 (coordinated audit).

Air Defense Activities in Europe. 79-078, April 30, 1979 (coordinated audit).

Health and Public Affairs

Procedures Used to Determine Eligibility of Users of the Uniformed Services Medical Facilities. 79-002, October 11, 1978 (requested audit).

Eligibility of Recipients of Benefits Under the Civilian Health and Medical Program of the Uniformed Services. 79-014, November 17, 1978 (coordinated audit).

Management Practices for Selecting and Monitoring Contractors Under the Civilian Health and Medical Program of the Uniformed Services. 79-027, December 21, 1978 (coordinated audit).

Evaluation of the Military Sealift Command In-House Cost Estimates to Operate T-5 Class Tankers in Response to RFP No. N00033-79-R-3001. 79-033, December 28, 1978 (requested audit).

Department of Defense Veterinary Program. 79-034, December 29, 1978 (requested audit).

Evaluation of the Military Sealift Command In-House Cost Estimates to Operate Columbia Class Tankers in Response to RFP No. N00033-79-R-3002. 79-038, January 12, 1979 (requested audit).

Department of Defense Dependents Schools Dormitory Operations and Tuition School Programs in the European Region. 79-045, January 25, 1979 (requested audit).

Selected Aspects of Workload Management at Military Hospitals. 79-060, March 9, 1979 (requested audit).

Management of Appropriated Funds by the Office of Civilian Health and Medical Program of the Uniformed Services. 79-074, April 4, 1979 (coordinated audit).

Payments Made to VisionQuest, Inc. Under the Civilian Health and Medical Program of the Uniformed Services. 79-088, May 16, 1979 (coordinated audit).

Procurement Activities at American Forces Radio and Television Services, Los Angeles. 79-089, May 21, 1979 (requested audit).

Defense Motion Picture Production, Depository, and Distribution Activities. 79-100, June 1, 1979 (coordinated audit).

DoD CONUS Medical Evacuation Infrastructure. 79-125, August 13, 1979 (coordinated audit).

Cost of Busing Department of Defense Dependents Schools Students in the European Region. 79-126, August 17, 1979 (coordinated audit).

Financial Management

Administrative Control of Funds at Headquarters, Defense Nuclear Agency. 79-012, November 9, 1978 (requested audit).

Travel Payments at Defense Contract Administration Services Regions, St. Louis, Chicago and Cleveland. 79-020, December 6, 1978 (coordinated audit)

Administrative Control of Funds at the Defense Communications Agency. 79-021, December 8, 1978 (requested audit).

Administrative Control of Funds at the Defense Mapping Agency. 79-028, December 26, 1978 (coordinated audit).

Administrative Control of Funds at the Defense Depot, Tracy, California. 79-029, December 27, 1978 (requested audit).

Administrative Control of Funds, Defense Personnel Support Center, Philadelphia, Pennsylvania. 79-041, January 18, 1979 (requested audit).

Chairman's Dining Room Fund. 79-042, January 18, 1979 (requested audit).

Administrative Control of Funds in the Defense Advanced Research Projects Agency. 79-046, February 6, 1979 (requested audit).

Administrative Control of Funds at the Administrative Support Center, Defense Logistics Agency. 79-065, March 22, 1979 (requested audit).

Civilian Payroll and Travel Operations, Defense Contract Administration Services Region, Philadelphia, Pennsylvania. 79-066, March 23, 1979 (requested audit).

Progress Payments in Defense Construction Programs. 79-068, March 26, 1979 (requested audit).

Payments to Contractors by the Defense Contract Administration Services Region, Atlanta. 79-079, April 30, 1979 (requested audit).

Office of the Secretary of Defense and Defense Agency Accounting Systems. 79-083, May 7, 1979 (coordinated audit).

Administrative Control of Funds, Defense Contract Administration Services Region, Atlanta, Marietta, Georgia. 79-094, May 29, 1979 (coordinated audit).

Civilian Overtime at the Defense Communications Agency. 79-098, May 31, 1979 (installation audit).

Civilian Overtime at the Defense Contract Administration Services Region, Dallas. 79-102, June 11, 1979 (installation audit).

Administrative Control of Funds at Field Command, Defense Nuclear Agency. 79-103, June 18, 1979 (installation audit).

Survey of Policies and Procedures for Paying Progress Payments for New Ship Construction. 79-109, July 2, 1979 (requested audit).

Civilian Overtime at the Defense Depot Memphis, Tennessee. 79-114, July 16, 1979 (installation audit).

Civilian Overtime at the Defense Contract Audit Agency, Los Angeles Region. 79-115, July 19, 1979 (installation audit).

Civilian Overtime at the Defense Contract Administration Services Region, Los Angeles. 79-120, July 27, 1979 (installation audit).

Civilian Overtime at the Defense Construction Supply Center, Columbus, Ohio. 79-121, July 30, 1979 (installation audit).

Civilian Overtime at the Defense Depot, Mechanicsburg, Pennsylvania. 79-123, August 2, 1979 (installation audit).

Defense Mapping Agency Overtime Controls. 79-135, September 6, 1979 (requested audit).

Civilian Overtime at the Organization of the Joint Chiefs of Staff. 79-136, September 6, 1979 (installation audit).

Civilian Overtime within the Office of the Secretary of Defense. 79-137, September 7, 1979 (installation audit).

Budget Execution for the FY 1978 Military Pay Appropriations.
79-138, September 13, 1979 (requested audit).

Civilian Overtime at the Washington Headquarters Services.
79-139, September 13, 1979 (installation audit).

Information Technology

Management of ADP Resources at the Defense Logistics Agency
Systems Automation Center. 79-004, October 12, 1978 (coordi-
nated audit).

Management of DoD Investment in Contractor Leased Automatic
Data Processing Equipment. 79-040, January 17, 1979 (coordi-
nated audit).

Management of ADP Systems within DoD Activities. 79-062,
March 19, 1979 (coordinated audit).

Security Assistance

Foreign Military Sales Case DN-IR-SAX. 79-007,
October 25, 1978 (requested audit).

Foreign Military Sales Ceiling Management. 79-011,
November 6, 1978 (requested audit).

U.S. Recommendations to European Participating Governments on
F-16 Initial Spares Funding. 79-013, November 13, 1978
(coordinated audit).

Interservice Audit of Government-Furnished Materiel Applied
to Foreign Military Sales Items. 79-035, January 8, 1979
(coordinated audit).

Foreign Military Sales Administrative Budgets for the Ogden
Air Logistics Center and the Aeronautical Systems Division.
79-036, January 9, 1979 (requested audit).

DoD Informational Program for Foreign Military Trainees.
79-047, February 6, 1979 (requested audit).

Collection of Administrative Fees by the Security Assistance
Accounting Center. 79-049, February 13, 1979 (requested
audit).

Management of the Assistance-in-Kind (AIK) Fund Provided by
the Government of Iran (GOI), Report No. 740, 14 March 1977.
79-050, February 13, 1979 (requested audit).

Accounting Procedures and Document Controls at the Security
Assistance Accounting Center. 79-053, February 28, 1979
(requested audit).

DoD Management Information Systems for Foreign Military Training. 79-063, March 22, 1979 (requested audit).

Foreign Military Sales Administrative Budget for the Defense Logistics Agency. 79-064, March 22, 1979 (requested audit).

Fund Controls and Delivery Reporting for Foreign Military Sales. 79-095, May 29, 1979 (requested audit).

Foreign Military Sales Administrative Budgets for the Naval Air Systems Command and the Naval Sea Systems Command. 79-106, June 29, 1979 (requested audit).

Defense Security Assistance Agency Military Assistance Program (MAP) Accounting System. 79-107, June 29, 1979 (coordinated audit).

Pricing of Dedicated Training Programs for Foreign Students. 79-112, July 12, 1979 (coordinated audit).

Contract Administration of Major Contracts in Iran. 79-116, July 20, 1979 (requested audit).

Communications

Communications Services Industrial Fund. 79-008, October 25, 1978 (requested audit).

Administrative Telephone Services in the Norfolk, Virginia Area. 79-022, December 13, 1978 (coordinated audit).

Worldwide Military Command and Control System Automatic Data Processing Program - Program Management. 79-031, December 29, 1978 (requested audit).

Defense Commercial Communications Office Disbursement Procedures. 79-037, January 11, 1979 (installation audit).

Communications Services Industrial Fund Billing Adjustments. 79-058, March 12, 1979 (requested audit).

Worldwide Military Command and Control System Automatic Data Processing Program - Mission Support in Europe. 79-061, March 15, 1979 (requested audit).

Automated Message Handling Systems - Telecommunications Oriented. 79-067, March 26, 1979 (requested audit).

Troposcatter Radios Used with the Army's Pershing Missile System. 79-096, May 30, 1979 (coordinated audit).

Communications System Control Element for Joint Tactical Communications Systems. 79-143, September 18, 1979 (coordinated audit).

Management of DoD Communications Satellite Programs. 79-144, September 18, 1979 (coordinated audit).

Cryptologic Intelligence

Resource Management of Remote Terminals, National Security Agency. 79-018, December 4, 1978 (requested audit).

National Security Agency Remote Terminals Automatic Data Processing Security. 79-075, April 12, 1979 (requested audit).

Department of Defense Voice Security Programs. 79-105, June 29, 1979 (requested audit).

General Intelligence

DoD Scientific and Technical Intelligence Production Program. 79-010, November 3, 1978 (requested audit).

Defense Attache System, Defense Intelligence Agency. 79-015, November 27, 1978 (requested audit).

Intelligence Related Activities

Management and Use of Sonobuoys. 79-005, October 13, 1978 (requested audit).

Interim Report on the Review of Defense Intelligence School Facilities. 79-072, March 30, 1979 (installation audit).

Mapping and Nuclear

Adequacy of Inventory and Accounting Controls over Conventional Explosives. 79-069, March 28, 1979 (requested audit).

Armed Forces Radiobiology Research Institute. 79-118, July 27, 1979 (installation audit).

Manpower Requirements and Utilization

Administration of Active Military Manpower - Individuals Account. 79-017, December 1, 1978 (coordinated audit).

Systems Acquisition

Tactical Fighter Aircraft Requirements. 79-003, October 11, 1978 (requested audit).

Survey Report on DoD Requirements for Antiarmor Weapon Systems. 79-044, January 23, 1979 (coordinated audit).

Research and Development

Interim Report on the Review of Procedures for Management of Research and Development in Support of Tactical Operation Capability. 79-024, December 15, 1978 (coordinated audit).

Interim Report on the Review of the Management of Research and Development in Support of Tactical Operational Capability. 79-043, January 18, 1979 (requested audit).

Systems Reliability, Test and Evaluation

Penguin Missile System. 79-023, December 13, 1978 (requested audit).

ROLAND Missile System. 79-077, April 26, 1979 (requested audit).

Procurement and Program Execution

DoD Other Procurement Program Execution. 79-128, August 22, 1979 (coordinated audit).

Administration and Entitlements

Apparent Violation of Section 3679, Revised Statutes by U.S. Army Claims Service of the FY 1979 Defense Claims Appropriation. 79-026, December 18, 1978 (coordinated audit).

Retired Military Pay, the Department of Defense and the Veterans Administration. 79-093, May 24, 1979 (coordinated audit).

Retired Reserve Data Base - Reserve Components Common Personnel Data System. 79-101, June 1, 1979 (requested audit).

Multiple Membership in Active Reserves. 79-110, July 5, 1979 (coordinated audit).

DoD's Administration of the Survivor Benefit Plan. 79-119, August 1, 1979 (coordinated audit).

Retired Military Pay Entitlements. 79-124, August 13, 1979 (coordinated audit).

Materiel Management

Defense Inactive Item Program in the Department of Defense. 79-001, October 10, 1978 (requested audit).

Supply Management at the Defense Mapping Agency Aerospace Center. 79-032, December 29, 1978 (coordinated audit).

Cash Management Procedures Pertaining to the Acquisition of Fuel by the Defense Logistics Agency. 79-039, January 15, 1979 (installation audit).

Cost Estimates for the Commercial Item Support Program. 79-055, March 5, 1979 (requested audit).

Retention and Transfer of Materiel Assets. 79-080, May 4, 1979 (coordinated audit).

U.S. Atlantic Command Management Policies and Plans for War-time Resupply Operations. 79-084, May 9, 1979 (coordinated audit).

Contractor Inventory Redistribution System. 79-132, August 28, 1979 (coordinated audit).

Bulk Fuel War Reserves. 79-140, September 14, 1979 (installation audit).

Transportation

Surcharge for Transportation Costs of Subsistence Shipments to Alaska and Hawaii Commissaries. 79-006, October 23, 1978 (requested audit).

Military Airlift Command Air Passenger Terminals. 79-025, December 18, 1978 (requested audit).

International Air Passenger Traffic. 79-052, February 20, 1979 (requested audit).

Transportation of Personal Articles on U.S. Navy Ships. 79-057, March 12, 1979 (coordinated audit).

Selected Elements of the Proposed Standard Transportation Billing Format. 79-099, May 31, 1979 (requested audit).

Costs Associated with the Use of Government Bills of Lading and Commercial Bills of Lading. 79-108, June 29, 1979 (requested audit).

Worldwide Aeromedical Evacuation System. 79-111, July 11, 1979 (requested audit).

Distribution of Freight to Highway Carriers by the Defense Depot, Tracy, California. 79-122, August 3, 1979 (requested audit).

Follow-up Review of the Interservice Audit of Tactical/Command Support Aircraft. 79-133, August 31, 1979 (coordinated audit).

Facilities and Support Services

DoD Printing and Duplicating Operations. 79-048, February 7, 1979 (coordinated audit).

Department of Defense Energy Conservation Investment Program. 79-054, February 28, 1979 (requested audit).

Utilization and Construction of Reserve Forces Facilities. 79-059, March 13, 1979 (requested audit).

Leased Motor Vehicles. 79-070, March 27, 1979 (coordinated audit).

DoD Auxiliary Airfields. 79-076, April 18, 1979 (coordinated audit).

War Reserves of Construction and Related Civil Engineering Equipment Stored in the Continental United States. 79-127, August 20, 1979 (coordinated audit).

Replacement of ESCAPAC Ejection Seats in the Navy and Air Force. 79-130, August 27, 1979 (coordinated audit).

Real Property Construction, Maintenance, and Repair Work, Defense Construction Supply Center. 79-134, September 4, 1979 (coordinated audit).

Navy Plans for a Gas Turbine Propulsion System Training Facility. 79-141, September 17, 1979 (installation audit).

Defense Logistics Agency Supply Centers and Depots

Special Program Requirements for Secondary Items in the Department of Defense. 79-073, April 3, 1979 (coordinated audit).

DoD Medical Materiel Support Program. 79-081, May 7, 1979 (coordinated audit).

Requisitions for Nonstandard and Nonstocked Items, Defense Electronics Supply Center, Dayton, Ohio. 79-082, May 7, 1979 (installation audit).

Selected Aspects of Inventory Management at the Defense General Supply Center. 79-097, May 31, 1979 (installation audit).

Quantity Discounts on Stock Replenishment Transactions, Defense Construction Supply Center. 79-104, June 20, 1979 (installation audit).

Defense General Supply Center Depot Storage Operations. 79-113, July 13, 1979 (installation audit).

Recruiting and Training

Use of Contractors for Specialized Skill Training. 79-030, December 28, 1978 (coordinated audit).

FY 1979 Individual Training Resource Reporting Systems. 79-071, March 30, 1979 (requested audit).

Qualifications of Graduates from Specialized Skill Training. 79-092, May 23, 1979 (coordinated audit).

Defense Contract Administration Services and Disposal Activities

Defense Property Disposal Office, Fairbanks, Alaska. 79-009, November 2, 1978 (requested audit).

Manufacturers' Warranties. 79-051, February 16, 1979 (coordinated audit).

Quality Assurance Activities in DoD Contract Administration Organizations. 79-085, May 9, 1979 (coordinated audit).

Plant Clearance Activities. 79-090, May 21, 1979 (coordinated audit).

Government-Owned Special Test Equipment Retained by Defense Contractors. 79-091, May 22, 1979 (requested audit).

Ration Assembly Contracts, Southern Paper Products, Incorporated, Memphis, Tennessee. 79-129, August 23, 1979 (requested audit).

DoD Donation Program. 79-145, September 17, 1979 (requested audit).

Local Procurement, Defense Mapping Agency Aerospace Center. 79-146, September 25, 1979 (requested audit).

Maintenance

Reduced Power Usage on Department of Defense Aircraft. 79-086, May 10, 1979 (coordinated audit).

Defense Mapping Agency Equipment Maintenance Program. 79-087, May 14, 1979 (installation audit).

Energy, Environment and Safety

DoD Fire Protection Services. 79-019, December 5, 1978
(coordinated audit).

Theater-Wide and Special Audits in Europe

Defense Commercial Communications Office, Europe. 79-056,
March 5, 1979 (installation audit).

Theater-Wide and Special Audits in the Pacific

Second Summary Report on the Interservice Review of U.S.
Force Reductions in Korea. 79-117, July 25, 1979 (coordi-
nated audit).

Pacific Stars and Stripes. 79-131, August 27, 1979
(requested audit).

PERSONNEL AND OPERATING EXPENSE SUMMARY				Name of Agency Defense Audit Service Fiscal Year 1979		
Section I	Permanent Personnel Data by Grade as of End of Period 9/30/79					
	Field Personnel			Headquarters Office		Grand Total
	Auditors incl 1st line Superv	Superv and Tech Staff	Admin and Support	S&TS	A&S	
<u>CIVILIAN</u>						
GS-18						
GS-17						
GS-16				5		5
GS-15		24		4		28
GS-14	42			8		50
GS-13	72			3		75
GS-12	88			2		90
GS-11	41					41
GS-10						
GS- 9	35					35
GS- 8					2	2
GS- 7			18		3	21
GS- 6			8		4	12
GS- 5			2		3	5
GS- 4 and under					5	5
Other (Non GS)						
TOTAL	278	24	28	22	17	369
<u>MILITARY</u>						
O8						
O7						
O6						
O5						
O4						
O3						
O2						
O1						
<u>WARRANT</u>						
<u>ENLISTED:</u>						
E9						
E8						
E7						
E6 and under						
TOTAL						
GRAND TOTAL	278	24	28	22	17	369

PERSONNEL AND OPERATING EXPENSE SUMMARY		Name of Agency Defense Audit Service Fiscal Year 1979					
Section II	Military		Civilian		Total Personnel		
	Audit and Tech	Admin and Suppt	Audit and Tech	Admin and Suppt	Audit and Tech	Admin and Suppt	Grand Total
<u>ASSIGNED PERSONNEL</u>							
Assigned Begin FY			329	40	329	40	369
Additions During FY			47	11	47	11	58
Separations During FY			37	21	37	21	58
Assigned End FY			339	30	339	30	369
<u>PERSONNEL AUTHORIZED</u>							
Authorized End FY							369
Authorized End Next FY							394

NO. OF OFFICES, END FY

Regional (Area, District)	7
Branch (Audit Office)	4
Residencies (Continuous)	2

		OPERATING EXPENSES FY 1979
Cost of Civilians (Actual)		\$11,048,000.00
Cost of Military Personnel (Calculated per DODI 7220.25)		
Travel		1,868,000.00
Other		929,000.00
Total Operating Expenses		\$13,845,000.00
Less Reimbursements Earned		160,000.00
Net Operating Expenses		\$13,685,000.00

APPLICATION OF TOTAL TIME		Name of Agency Defense Audit Service Fiscal Year 1979				
PERSONNEL TIME	MAN-YEARS					
	FIELD			Head- quarters Office	Total	%
	Auditors and 1st Line Superv	Superv and Tech Staff	Admin * and Support			
INDIRECT AND ADMINISTRATIVE TIME						
Orientation and Training	5.4	.5	.3	.5	6.7	2.0
Leave and Holidays	52.1	5.2	2.6	5.2	65.1	17.0
PCS and Travel						
Adm. and Support			18.0	17.9	35.9	9.0
Supervision and Tech Staff		23.5			23.5	6.0
Other (Military Duties, etc.)						
TOTAL	57.5	29.2	20.9	23.6	131.2	34.0
DIRECT TIME	229.3	22.7			252.0	66.0
GRAND TOTAL	286.8	51.9	20.9	23.6	383.2	100%

* Administrative and support functions are performed by DLA Administrative Support Center under an Interservice Support Agreement.

SUMMARY OF DIRECT INTERNAL AUDIT TIME
BY MAJOR FUNCTION AND TYPE OF AUDIT

Name of Agency
Defense Audit Service
Fiscal Year 1979

	Direct Man-Years by Type of Audit				Consultant Services	Total Direct Man-years	Percent
	Init. by Audit Org.		Requested Audits				
	Installation or Activity	Coordinated Audits	Within Component	OSD and Others			
SUPPLY MANAGEMENT	8.7	11.7		13.8		34.2	13.6
COMPTROLLER SERVICES	3.0	8.0		2.7		13.7	5.4
MANAGEMENT OF MAINTENANCE AND REPAIR	.8	4.3		5.7		10.8	4.3
MANAGEMENT OF REAL AND INSTALLED PROPERTY		11.1		.6		11.7	4.6
PROCUREMENT AND CONTRACT ADMINISTRATION	1.2	25.8		11.1		38.1	15.1
PERSONNEL MANAGEMENT AND PAYROLLS	3.1	25.9		10.5		39.5	15.7
NONAPPROPRIATED FUND ACTIVITIES	.4			1.7		2.1	.9
SUPPORT SERVICES	.4	9.3		6.1		15.8	6.4
MANUFACTURING						14.2	5.6
RESEARCH AND DEVELOPMENT	2.5	11.7		1.3		11.1	4.4
AUTOMATIC DATA PROCESSING SYSTEMS	4.0	5.8		14.5		16.2	6.4
MILITARY ASSISTANCE PROGRAM		1.7		1.8		12.2	4.8
COMMUNICATIONS		10.4		9.5		12.4	4.9
TRANSPORTATION	.8	2.1		3.6		17.5	6.9
INTELLIGENCE AND SECURITY		13.9				2.5	1.0
OTHER DIRECT TIME		2.5					
TOTAL DIRECT TIME	24.9	144.2		82.9		252.0	100%
FORECAST FOR REPORTING FISCAL YEAR		179.0		120.0		299.0	
FORECAST FOR NEXT FISCAL YEAR		179.0		120.0		299.0	
ESTIMATED TOTAL ANNUAL WORKLOAD		343.0		299.0		572.0	
ESTIMATED TOTAL MANPOWER REQUIREMENT		457.0		305.0		762.0	

DESCRIPTIONS OF MAJOR ORGANIZATIONAL UNITS OF DAS

The following identifies DAS's major units of organization, together with a brief description of the major responsibilities of each. The lines of authority can be found in the organization chart preceding Chapter One.

Financial and Manpower Audits Division

Forces Management

This program encompasses audits of all aspects of organizing, equipping and training active and reserve combat forces. Reviews are directed toward the use made of resources provided to attain and sustain the required force structure. Systems such as the Force Status and Identity Report system and other authorization and capability reporting systems as well as contingency planning are included.

The development of unit training objectives, the extent to which those objectives are accomplished and the effectiveness of participation in field exercises are also included in this program.

Program elements 1, 2, 4 and 5 of the Five Year Defense Program and budget submissions will be covered by this group.

Health and Public Affairs

This program encompasses all aspects of the DoD medical care system including operation of hospitals and clinics; all medical (including dental) staffing requirements; and all related training requirements and facilities. Included would be requirements determinations, recruiting, assignment, utilization, classification and record keeping operations. Also included would be all aspects of the Civilian Health and Medical Program of the Uniformed Services (CHAMPUS) and the Tri-Service Medical Information System (TRIMIS).

All aspects of Public Affairs are incorporated, including the American Forces Radio and Television Service, all audiovisual programs which include the production, distribution and depository functions of motion picture, television, audio, multi-media and still photo products for training and information purposes.

Also addressed are all aspects of the Department of Defense Dependents Schools System which operates 259 schools in 25 countries.

Financial Management

This area is concerned primarily with the systems, functions, and activities established to carry out the fiscal responsibilities of DoD. Generally, financial management will include all comptroller-type services and activities relating to programing, budgeting, accounting and reporting. Specifically, financial management covers the needs for, receipt, control, and disbursement of public funds. It covers programing to the extent that it is organized within the comptroller area.

Financial management further covers the budgeting process through the formulation, approval and execution stages. It includes all facets of accounting systems including their approval by the Comptroller General as well as their operational aspects. It covers fiscal accounting and administrative control of funds, cost accounting, property accounting, and other types of accounting.

Financial management includes contract financing, cash management, payment of civilian and military pay and allowances, and overseas banking in DoD. Many funds and accounts are covered; for example, general funds; revolving funds such as stock funds and industrial funds; deposit funds; foreign currency accounts; and transfer appropriation accounts. Financial management incorporates all aspects of disbursing and also covers various types of reporting such as financial and budgetary reporting, and progress and statistical reporting.

Further, financial management includes the responsibility for assuring that legal and legislative requirements are met in the execution of programs using appropriated funds.

Information Technology

This program includes reviews of automatic data processing (ADP) functions such as information and word processing, administrative data processing, production control systems, computers integral to weapons systems, and related telecommunications processing resources. These reviews will include evaluations of automated systems (hardware and software) and will provide design personnel, system users and applicable management levels with timely recommendations to improve operational effectiveness and system efficiency.

Some reviews would include participation in the design, development, and testing of major DoD computer systems to assure that adequate controls and safeguards are designed into approved DoD systems. Other reviews would be made of operational, automated systems and data processing installations as well as ADP systems security and data privacy controls.

TRAINING COURSES ATTENDED BY DAS PERSONNEL
DURING FISCAL YEAR 1979

- I. Defense Audit Service internal courses (These courses are conducted primarily by DAS personnel.)
- A. Auditor Intern School
 - B. Intermediate Auditor School
 - C. Staff Auditor School
 - D. Advanced Auditor School
 - E. Executive Conference
- II. Training obtained through other Government agencies
- A. Federal Executive Institute
 - Executive Development Days
 - Seminar for New Managers
 - Executive Leadership and Management Program
 - Seminar for Advancing Managers
 - B. Office of Personnel Management
 - Operation Update
 - Audit Techniques for ADP Systems
 - Basic EEO Counseling
 - Financial Management Conference
 - Automatic Data Processing Orientation
 - C. Pentagon Education Center
 - Critical Reading Skill Development Program
 - D. Department of Defense Computer Institute
 - Computer Systems Security
 - Introduction to Teleprocessing
 - Computer Performance Evaluation
 - E. Army Management Engineering Training Activity
 - ADP Orientation Seminar
 - F. Army Logistics Management Center
 - C/I Review Program Workshop
 - G. Defense System Management College
 - Major Systems Acquisitions Policy in DoD
 - H. Defense Logistics Agency
 - ANS Cobol
 - S/360 and DSAC Programming
 - I. Navy Material Command
 - Navy Department Planning and Management Systems

J. Defense Intelligence School
Joint Intelligence Curriculum

III. Training obtained from commercial sources

- A. University of Oklahoma
 - Public Personnel Administration
 - Public Policy Analysis
 - Comtemporary Economic Methods and Analysis
 - Measurement and Analysis for Public Administrators
 - Program Planning and Evaluation
- B. Dr. Mary C. Bromage
 - Writing Audit Reports
- C. Mr. Phillip Yeager, CPA
 - Lamber's CPA Review
- D. Interagency Auditor Training Center
 - Successful Audit Report Writing
 - Developing and Presenting Audit Findings
 - Written Communications for Auditors
 - Interviewing Techniques for Auditors
 - Operational Auditing
- E. Seminars, Conferences and Workshops sponsored by Professional Organizations
 - 1. Association of Government Accountants
 - Keep Your Cool Under Stress
 - Detection and Prevention of Computer Fraud
 - Productivity Symposium
 - Oral Presentation Techniques
 - Speaking and Listening
 - Systems Analysis for Government Auditors
 - Prevention of Fraud, Waste, and Abuse
 - Detection and Prevention of Fraud, Waste, and Abuse
 - National Symposium
 - Evaluating Internal Controls in Computer Systems
 - 2. Institute of Internal Auditors
 - Professional Perspective - Internal Auditing
 - 3. American Association of Accountants
 - Mid-Atlantic Region Meeting
- F. Management Science Training Center
 - Financial Management Conference

The program responsibilities include providing ADP support and assistance, as needed, to Defense Audit Service teams making audits in an ADP environment.

Security Assistance

The program consists of 5 major parts:

The Military Assistance Program (MAP) through which Defense articles and services are provided to eligible recipients on a grant basis.

The International Military Education and Training (IMET) Program through which military training is provided to selected foreign personnel on a grant basis.

The Foreign Military Sales Financing Program through which loans and repayment guarantees are provided to eligible foreign governments on a fully reimbursable basis.

The Security Supporting Assistance (SSA) Program through which economic assistance is provided, on a loan or grant basis, to selected foreign governments.

Foreign Military Cash Sales Procedures through which eligible foreign governments purchase Defense articles, training and services.

The functional area includes audits at all levels of management of the 5 major parts, which make up the Security Assistance Program. It includes the Security Assistance Program responsibilities of the Military Departments, Unified Commands and Military Assistance Advisory Groups. Reviews in this area may cover the overall management of the program or segments of the program, specific case execution, or compliance and performance from the recipient in-country viewpoint.

Intelligence and Communications Audits Division

Communications

This program covers all aspects of the operational management, control, and supervision of DoD communications systems, activities, or services whether commercial or Government-owned. Included are the Defense Communications System (DCS), Communications Satellite System, and programs funded by the Military Departments; and all special purpose and dedicated networks, systems and programs that support the functions of command and control (including alert and warning) at both the strategic and tactical level. The area also includes responsibility for

internal audit coverage of the Defense Communications Agency (DCA) except audits of payroll and personnel that are covered through other functional programs.

Cryptologic Intelligence

This program includes signal intelligence and communications security for all of DoD. It encompasses the National Security Agency, as well as the cryptologic mission operations of the Army, Navy and Air Force. Audits would cover all aspects of operational management and analysis of the effectiveness and efficiency of mission results in relation to the resources provided through the Consolidated Cryptologic Program and the Communications Security Program. In addition, audit responsibility also includes all areas supporting the mission operations of the National Security Agency. This involves supply management, comptroller services, maintenance, procurement, personnel, research and development, computer operations, communications and field activities.

General Intelligence

This program includes audits of the DoD-wide functions and activities involved in collecting, analyzing, and producing data for basic intelligence, current indications and warning intelligence, intelligence estimates, long-range threat forecasts and scientific and technical intelligence to support DoD requirements. Functions and activities involved in counter intelligence and photo interpretation are also included. Audits of operational management procedures and analyses of the effectiveness and efficiency of mission results in relation to the resources provided through the General Defense Intelligence Program are included. Excluded are audits of the Consolidated Cryptologic and Intelligence Related Activities programs not funded in the General Defense Intelligence Program. Also, excluded are reviews of basic support functions such as payroll, supply, and maintenance, that are covered through other functional programs.

Intelligence Related Activities

This program includes audits of the operational or mission aspects of tactical surveillance and warning systems, tactical battlefield support systems (e.g., reconnaissance assets), tactical ocean support systems, intelligence staff support, intelligence direct support systems, Reserve and National Guard intelligence activities, and intelligence training functions performed by the Military Departments. As part of this program function, we also review operational management procedures development of operational systems, interfaces with other National and Defense

intelligence programs, and the effectiveness and efficiency with which resources are used for intelligence related activities outside the National Foreign Intelligence Program. Also included in this function will be audits of intelligence activities of sensitive national programs for which DoD acts as executive agent. Excluded are basic support functions such as payroll, supply, and maintenance, that are covered through other program functions.

Mapping and Nuclear

This program includes the mission aspects of the DoD mapping, charting, and geodesy (MC&G) program and the DoD nuclear weapons program. The MC&G program involves Defense Mapping Agency activities and the Military Departments involved in validating requirements, tasking collectors, analyzing collection, producing MC&G products and distributing items produced. The nuclear program involves Defense Nuclear Agency activities and the Military Departments concerned with management of the DoD nuclear weapons stockpile including the operations of the consolidated nuclear weapons reporting system. The functions normally associated with integrated materiel management are included for MC&G and nuclear items. Those aspects of Research, Development, Test and Evaluation (RDT&E) programs involved with nuclear effects and MC&G programs are included here rather than in the RDT&E program. Excluded are support functions such as supply, maintenance, fund controls, appropriation accounting and property accountability that are covered through the other functional programs.

Manpower Requirements and Utilization

This program covers most aspects of the management of military and civilian manpower. General areas of audit responsibility include programing and budgeting of manpower resources, manpower resource management, force structure management, and manpower management information systems. Specifically included are all actions affecting the: manpower programs of the Military Departments, Defense agencies and OSD staffs; military or civilian space and/or man-year authorizations and associated funding programs; and activation, inactivation and changes to units and activities. Excluded areas include training, career development and personnel readiness.

Special Programs Audits Division

Systems Acquisition

This program includes the management processes through which major weapon systems as defined in DoD Directive 5000.1, are acquired by DoD. Reviews are based on threat assessments applicable to Defense Systems Acquisition Review Counsel (DSARC) Milestone 0 - Program Initiation, as well as OSD and Military Department subsequent reassessment requirements (DSARC Milestones I through III) as related to individual weapon systems. Included are matters such as trade-off analyses among alternative weapon systems, cost versus operational capability alternatives, DSARC issue items, production and life cycle costs, and qualitative and quantitative requirements determinations and justification as related to major weapon systems acquisition plans and programs.

Research and Development (R&D)

This area covers the mission aspects of basic and applied research and developmental and applied engineering. The operations of R&D activities and studies and analyses efforts are included in this program. Primary emphasis will be on the performance of mission tasks, the scheduling and programming of operations, the degree of control exercised in assuring validity of results, and the extent to which accomplishments are used to influence doctrine and acquisition decisions.

Systems Reliability, Test and Evaluation

This program includes reviews of the adequacy of DoD policies and procedures for determining the reliability and dependability of major weapons to perform according to plan under potential combat or hostile conditions. Assessments will be made of test and evaluation procedures including test range results employed to determine the feasibility of proceeding with procurement and deployment of new systems developed in research and development programs. Reviews will include a determination of methods used to resolve systems defects discovered during operational performance and the cost-effectiveness of alternatives selected to assure that mission accomplishments are not degraded under stress situations. Evaluations will also be made to determine that prompt disposition is undertaken on systems deemed too technically deficient to accomplish mission goals, or where the cost to correct mechanical deficiencies is too high.

Procurement and Program Execution

This program includes reviews of the adequacy of DoD policies, procedures and practices for acquiring approved major hardware and software systems, products, and services. These reviews will focus on evaluating the processes for DoD validation of requirements, determining that procurement schedules are realistic, and reviewing methods used to obtain timely acquisition. Emphasis will be placed on the adequacy of DoD administrative practices employed to forecast procurement, production and delivery dates; establish obligation and outlay targets based on these forecasts; and monitor the progress of program execution. The acquisition process will include reviews of procurement requests, invitations to bid, methods of contracting, and the negotiation, award and administration of contracts.

Administration and Entitlements

This audit program area encompasses the activities and functions involved in the (a) development and execution of the retired military pay and reserve programs; (b) determination and payment of entitlements to retired military personnel or their survivors, members of the Reserve Forces and the National Guard; (c) establishment and maintenance of data bases for retired military personnel, their survivors, the Reserve Forces and the National Guard; and (d) the administration of related programs. Reviews will include the planning, programing, budgeting and implementing of actions required to economically, effectively, and efficiently accomplish related program objectives. Reviews in this area are of an interservice nature and in some instances are of an inter-departmental nature. Effective working relations are required to be maintained with the Veterans Administration and the Departments of Commerce, Transportation, and Health, Education and Welfare.

Systems and Logistics Audits Division

Materiel Management

This program includes DoD-wide audits of activities and facilities dealing with all aspects of supply system operations and those dealing with logistics data systems. Included are supply operations and related accounting systems such as inventory control points managing wholesale inventories, depots, inventories in transit, installation level supply operations, and materiel in the possession of using and supporting organizations and units. Some of the functions are inventory control, storage and issue, requirements computations, war reserves, requisitioning, warehousing, stock balance and consumption reporting systems,

reutilization screening processes, the Federal Catalog program for identifying and cataloging items of supply, item standardization programs, and management of technical data items of supply. Excluded are individual weapon system acquisitions, transportation, maintenance and overhaul, procurement, contract administration, and property disposal.

Transportation

This program includes DoD-wide and interservice audits of all aspects of the programs, systems, and activities of the Defense Transportation System. Included in the transportation system are the operation, control, and supervision of all functions incident to the effective and economical procurement and use of transportation and traffic management involving the land, sea, or air movement of personnel and equipment using both military and commercial sources. The Program Director must work closely with other Government agencies and the public sector. Components of the Defense Transportation System are the Military Traffic Management Command, the Military Airlift Command, the Military Sealift Command and the Service Transportation Offices. Only those functions related to the mission of the DoD Transportation System are in the program. Excluded are the everyday housekeeping activities and functions performed by and for these components and those responsibilities directly related to the parent Service requirements unless specific requests dictate DAS audit involvement.

Facilities and Support Services

This program includes DoD-wide and Defense agency audits of:

- maintenance, repair and utilization of real property and equipment,
- military construction,
- housing programs (family, bachelor and leased housing), and
- support services.

Reviews will be made of the management of real and installed property from determination of the need of the property through maintenance, use and disposal. Some of the specific audit entities included are in-house construction; utility systems; maintenance

of land, buildings, facilities, and installed property; fire protection; family housing programs; and related costs and property accounting systems. This program also includes evaluations of the various services required to support the operations and maintenance of a military facility or organization. It includes audits of Service-wide operations, such as mess hall operations; appropriation-funded morale, welfare and recreation functions; quarters; religious activities; and retail store operations (such as clothing and commissary).

Defense Logistics Agency (DLA) Supply Centers and Depots

This program includes audits of major supply support missions assigned to 5 DLA supply centers (excludes Defense Fuel Supply Center) and 7 field depots. The supply management functions of the supply centers include requirements computation, supply control, provisioning, procurement, requisitioning processing, distribution, materiel management, standardization and inventory accountability. Areas of audit responsibility at the depot level include receipt, inventory management, warehousing and distribution. In addition to the 7 DLA-managed depots, the Program Director has responsibility for mission audits at those Service-managed depots that perform distribution missions for DLA-owned commodity materiel. Also included are audits of storage facilities for subsistence worldwide.

Recruiting and Training

This program includes DoD-wide audits of the recruiting, training and education of military personnel. It also includes DoD-wide audits of the education and training of civilian employees. The overall objectives of these audits are: to review and evaluate the effectiveness, efficiency and economy of the DoD management of personnel and resources used in recruiting, education and training; and to determine whether there is unnecessary duplication and/or potential for the consolidation or elimination of certain functions or activities.

Defense Contract Administration Services and Disposal Activities

This program includes audits in the following areas:

- Contract Administration. The activities involved in the administration of contracts, quality assurance, Government-furnished property administration and industrial security are included in this program. Reviews of deliveries, undelivered

items, contract financial status, program status, partial and advanced payment terms, and intransit inventory controls are included. This area includes reviews of DoD contract administration organizations. The establishment of requirements and the storage and distribution of materiel to meet the needs of consumers are not covered except when these matters are directly effected by contract administration practices and procedures.

- Property Disposal Activities. This program reflects the management and control of inventories accounted for in the Integrated Disposal Management System from receipt through disposition including in-transit accountability from the turn-in activity and to the receiving activity. Some of the identifiable functions are receipt and storage, utilization, donation, demilitarization, sales, downgrading to scrap, precious metals recovery, and ship and aircraft sales.

- Accountability and Security of Small Arms, Ammunition and Explosives. This program reflects the management and control of inventories from acquisition to use or disposal. Some of the identifiable functions are inventory control, storage and issue, security, requisitioning, and stock balance and consumption reporting systems.

Maintenance

This program includes the various systems facilities, services, and activities devoted to the maintenance, repair, and overhaul of equipment and supplies. It includes organic and contractual organizational, intermediate, and depot repairs. Also covered is the use of equipment and supplies by maintenance and repair activities. Maintenance operations funded by industrial funds are also in this program. Reviews will cover maintenance philosophies, and concepts developed during weapon and subsystem conception, design, test and operation. Some of the identifiable functions are depot maintenance, vehicular maintenance (for example, tanks, personnel carriers and trucks), ship overhaul, missile and other ordnance maintenance, maintenance of organizational materiel, and related cost and appropriation accounting for maintenance and repair activities. Maintenance of real property will not be included.

Energy, Environment and Safety

This program includes audits of programs under the cognizance of the Deputy Assistant Secretary of Defense (Energy, Environment and Safety). Energy programs include fuel supply assurance, development of alternate fuels, energy technology application, engineering and analysis, conservation investment, conservation management and training.

Environmental programs require compliance with environmental laws and environmental protection agency regulations. The programs deal with air and water pollution abatement, hazardous materiel management, solid waste disposal, noise suppression, pesticide management, environmental impact statement, conservation of natural resources, and preservation of historic sites.

Safety programs require compliance with work place safety standards established in accordance with the Occupational Safety and Health Act of 1970. DoD safety policy requires safety training for employees, mishap investigation, standardized reporting of mishaps, and use of personal protective equipment if work place hazards cannot be eliminated. DoD safety programs also cover chemical weapon systems ammunition, explosives, hearing conservation, traffic safety, flight safety, nuclear safety and system safety engineering.

Theater-Wide and Special Audits in Europe/Pacific

This program includes audits of Unified Command organizations and functions, audits of any Defense program, function, or system when audit scope is limited to the overseas theater, and special audits of activities within the theater in response to OSD or Unified Command requests. The Program Director represents the Director, DAS in dealings with the overseas Unified Command and the Military Departments overseas commands and activities. He acts as point of contact for all commands in the theater for ongoing audits.

480072

DEFENSE COMMUNICATIONS AGENCY

The attached documents were provided to the Carter-Reagan Transition team by DCA. The memorandum for the Special Assistant to the Secretary of Defense dated 5 December 1980 has the budget figures for FY 1981 and 1982 deleted as this information is considered classified within the meaning of Executive Order 12065 and withheld under the provisions of 5 USC 552(b)(1). DCA further advises that this information will be declassified upon publication of the President's budget, which is expected in February 1981.

The Initial Denial Authority is Mr. John T. Whealen, General Counsel, Defense Communications Agency.



DEFENSE COMMUNICATIONS AGENCY
WASHINGTON, D. C. 20305

18 November 1980

IN REPLY
REFER TO: 600

MEMORANDUM FOR LTC J. BASHMORE
Deputy Executive Assistant, ASD(C3I)

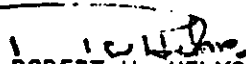
SUBJECT: Request for Information

Reference your phone call with Ms Duda this date. The following documents are enclosed:

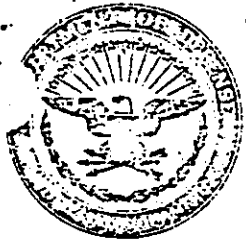
- a. DoDD 5100.41, Executive Agent Responsibilities for the National Communications System, July 23, 1979.
- b. DoDD 5105.19, Defense Communications Agency, August 10, 1978.
- c. Defense Communications Agency Organization Chart.
- d. National Communications System Organization Chart.
- e. Defense Communications Agency Direct Budget Plan (funds for the DoD portion of the NCS are included in the DCA budget).

FOR THE DIRECTOR:

5 Enclosures a/s


ROBERT W. HELMS
Comptroller

Encl 1



July 23, 1979
NUMBER 5100.41

Department of Defense Directive ^{ASD(C³I)}

SUBJECT Executive Agent Responsibilities for the National Communications System

- References:
- (a) DoD Directive 5100.41, "Arrangements for the Discharge of Executive Agent Responsibilities for the National Communications System (NCS)," January 19, 1972 (hereby canceled)
 - (b) DoD Directive 5137.1 "Assistant Secretary of Defense (Communications, Command, Control, and Intelligence)," March 11, 1977
 - (c) Multiaddressee Memorandum from the President, "Establishment of the National Communications System," August 21, 1963 (28 FR 9413)
 - (d) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976

A. REISSUANCE AND PURPOSE

This Directive reissues reference (a) to comply with organizational changes set forth in reference (b).

B. APPLICABILITY

The provisions of this Directive apply to the Office of the Secretary of Defense, the Military Departments, and the Defense Agencies (hereafter referred to as "DoD Components").

C. BACKGROUND

1. By reference (c), the President directed that a National Communications System (NCS) be established and developed by linking together, improving, and extending, on an evolutionary basis, the communications facilities and components of the various Federal agencies. The objective of the NCS is to provide necessary communications for the Federal Government under all conditions ranging from a normal situation to national emergencies and international crises including nuclear attack. The President further directed that the Secretary of Defense serve as Executive Agent for the NCS.

2. This Directive establishes organizational relationships and delegates functions within the Department of Defense for the discharge of the responsibilities assigned to the Secretary of Defense as Executive Agent for the NCS (reference (c)).

D. RESPONSIBILITIES

1. Pursuant to the authority vested in the Secretary of Defense, The Assistant Secretary of Defense C³I by DoD Directive 5137.1 (reference (b)) is designated the principal staff assistant to the Secretary of Defense in his role as Executive Agent, NCS, with responsibilities as set forth in reference (b).

2. The Director, Defense Communications Agency (DCA), shall be the Manager, NCS. Under the staff supervision of the Assistant Secretary of Defense (C³I), the Manager, NCS, shall perform the principal, unified technical planning for the establishment and development of and exercise operational guidance over the NCS. Specifically, the Manager shall:

a. Make reports and furnish recommendations on matters concerning the NCS to the Executive Agent, through the Assistant Secretary of Defense (C³I). Specific reporting requirements, as they are developed and prescribed, shall be processed and approved consistent with the policies and criteria of DoD Directive 5000.19 (reference (d)).

b. Develop and recommend the design and detailed plans for establishing and developing the NCS.

c. Provide participating NCS agencies with technical advice and assistance related to their assigned tasks in the development and operation of the system.

d. Allocate, reallocate, and arrange for restoration of communications facilities to authorized users based on approved requirements and priorities.

e. Develop operational plans and provide operational guidance with respect to all elements of the NCS, including (1) the prescription of standards and practices as to operation, maintenance, and installation; (2) the maintenance of necessary records to ensure effective utilization of the NCS; and (3) the exercise and test of system effectiveness.

f. Submit to the Executive Agent, through the Assistant Secretary of Defense (C³I), reports and recommendations which have an impact on the Defense Communications System or on other responsibilities of the Secretary of Defense in order that appropriate elements of the Department of Defense may provide their comments and recommendations thereon.

g. Accomplish other assigned NCS tasks.

E. AUTHORITY

To discharge the functions assigned herein the Manager, NCS, subject to the staff supervision of the Assistant Secretary of Defense (C³I) is authorized to:

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1. Issue NCS instructions and directive-type memoranda in writing pertaining to the unified technical planning for and operational guidance of the NCS.
2. Employ the DCA staff and field organizations in carrying out NCS responsibilities.
3. Request reports, information, and assistance, including personnel, from the agencies participating in the NCS when necessary.
4. Obtain reports, information, and assistance from all DoD Components when necessary.
5. Establish procedural arrangements for the execution of assigned functions.
6. Communicate directly with all agencies participating in the NCS; with all DoD Components; and, after appropriate clearance, with representatives of other nations.
7. Provide such logistic support for the representatives of the participating agencies who are serving on a full-time basis, as the Manager, NCS, considers appropriate.

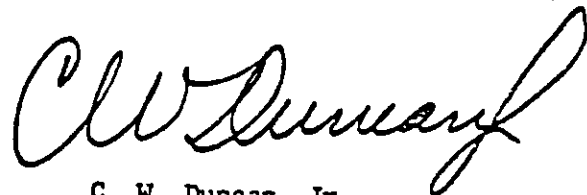
F. RELATIONSHIPS

In the performance of their NCS functions, the designees of the Executive Agent, working through the NCS representatives designated by the participating agencies, shall:

1. Coordinate actions with participating agencies having collateral or related responsibilities for installation, operation, maintenance, and modification of NCS elements or NCS subsystems.
2. Maintain appropriate liaison with participating agencies for the exchange of information and findings.

G. EFFECTIVE DATE

This Directive is effective immediately.



C. W. Duncan, Jr.
Deputy Secretary of Defense



August 10, 1978
NUMBER 5105.19

ASD(C)

Department of Defense Directive

SUBJECT Defense Communications Agency (DCA)

- References:**
- (a) DoD Directive 5105.19, "Defense Communications Agency (DCA)," ~~September 18, 1967 (hereby cancelled) October 8, 1974~~
 - (b) Title 10, United States Code, Section 125
 - (c) through (g) see enclosure 3

A. REISSUANCE AND PURPOSE

This Directive reissues reference (a) to redefine the mission, responsibilities, authorities, and command relationships of the Defense Communications Agency (DCA) and its Director.

B. GENERAL

Pursuant to the authority vested in the Secretary of Defense and the provisions of reference (b), DCA is established as an agency of the DoD and is placed under the direction, authority, and control of the Assistant Secretary of Defense (Communications, Command, Control and Intelligence) (ASD(C³ I)). Guidance with regard to military and communications doctrine, operational policies and procedures shall be furnished to the Director, DCA, by the JCS.

C. DEFINITIONS

Terms used in this Directive are defined in enclosure 1.

D. MISSION

The mission of the DCA is to:

1. Perform system engineering for the Defense Communications System (DCS) and insure that the DCS is planned, improved, operated, maintained, and managed effectively, efficiently, and economically to meet the long-haul, point-to-point, and

switched network telecommunications requirements of the National Command Authorities (NCA), the DoD, and, as authorized and directed, other governmental agencies.

2. Provide system engineering and technical support to the National Military Command System (NMCS) and the Minimum Essential Emergency Communications Network (MEECN). Provide other engineering and technical support to the Worldwide Military Command and Control System (WWMCCS), as assigned.

3. Perform system architect functions for current and future Military Satellite Communications (MILSATCOM) systems.

4. Provide analytical and automated data processing (ADP) support to the Joint Chiefs of Staff, the Secretary of Defense, and other DoD components, as directed and authorized.

5. Procure leased communications circuits, services, facilities, and equipment for the DoD, where authorized, and for other Government agencies as directed by the Secretary of Defense. Initiate or process actions relating to regulatory and tariff matters, including rates for communications facilities leased by the DoD.

6. Perform those functions and carry out those responsibilities, assigned by such other directives as may be issued by competent authority, that are not explicitly addressed in this Directive or that may be issued to add to, delete, or modify the contents of this Directive.

E. ORGANIZATION

The DCA shall consist of a Director, a headquarters establishment, and such subordinate units, facilities, and activities as established by the Director or specifically assigned to the agency by the Secretary of Defense or by the Joint Chiefs of Staff acting by authority and direction of the Secretary of Defense.

F. RESPONSIBILITIES

1. The Director, DCA, shall:

a. Command, organize, direct, and manage the DCA and its field organizations in accordance with assigned missions.

b. Within assigned authorities, insure systems responsiveness to the requirements of the NCA, the DoD, the Joint Chiefs of Staff, the Commanders of the Unified and Specified Commands, and all other authorized users, to include management of communications support for the national emergency preparedness functions.

c. Function as a principal adviser to the ASD(C³ I) on the DCS and as an adviser to the Secretaries of the Military Departments, the Joint Chiefs of Staff, the Commanders of the Unified and Specified Commands, and other DoD components on assigned mission responsibilities.

d. Execute such tasks for the National Communications System (NCS) as may be assigned and directed by the Secretary of Defense in his capacity as Executive Agent, NCS.

e. Provide appropriate planning documents to the ASD(C³ I), the Deputy Under Secretary of Defense for Policy and the Joint Chiefs of Staff.

f. Develop or recommend, as appropriate, research, development, test, and evaluation (RDT&E) programs or projects required to accomplish the assigned mission. Manage DCA-funded RDT&E programs. Monitor the status of, coordinate, and provide guidance for RDT&E programs, for which DCA is assigned responsibility, that are included in the programs of other DoD components.

g. Develop and promulgate procedures to insure the continuing supervision, review, and approval of acquisition, implementation, and engineering actions necessary to carry out approved plans and assigned missions.

h. Perform financial management functions relating to DCA-funded programs. As requested by the ASD(C³ I), assist in the OSD review of programs and budgets supporting DCA missions. Maintain the Communications Services Industrial Fund.

i. Develop technical standards, in coordination with the Military Departments and all other appropriate DoD Agencies for the DCS and other systems, as assigned and directed.

j. Exercise through the DCA Operations Control Complex operational direction over the DCS either directly, over technical control facilities, switching centers, and other DCS operating elements, or through the appropriate Military Service operation and maintenance manager.

k. Provide communications support to the OJCS and provide direct ADP support for: the Joint Chiefs of Staff and OSD analysis and simulation studies, operation of the command centers of the NMCS, and other appropriate tasks from OSD and the Joint Chiefs of Staff and their designated representatives.

l. Provide computer software programs for the DCS and the NMCS, as required.

m. Establish, in coordination with the Military Departments, equipment levels for DCS switching centers, including the cryptographic equipment that supports the DCS.

n. Allocate, reallocate, and direct restoral of subsystems, trunks, circuits, channels and networks of the DCS for the authorized users of the system, based on approved requirements and in accordance with established priorities and procedures. The restoration of service requiring use of available resources not currently in operation or committed will be coordinated with the Joint Chiefs of Staff or the appropriate operation and maintenance managers of the Military Departments.

o. Perform subsystem/project engineering as specifically assigned within mission responsibilities.

p. Perform the centralized engineering and management function for all nontactical offbase DoD multiplex systems.

q. Coordinate actions with other DoD components and governmental agencies having collateral or related functions in the field of its assigned responsibility.

r. Coordinate communications security requirements other than communications security monitoring policy, which is not within the purview of this Directive, with the National Security Agency, the Military Departments, and the Joint Chiefs of Staff.

s. Maintain active liaison for the exchange of information and advice with all DoD components and other governmental agencies.

t. Make full use of established facilities of the DoD components and other departments of the Government, rather than unnecessarily duplicating such facilities.

u. Establish requirements for and recommend assignment of responsibility for preparation of logistic engineering, and other support plans.

v. Analyze and evaluate the performance of the DCS according to prescribed standards and practices, including the conduct of on-site performance evaluation visits. Inform users and operating elements regarding system status and make recommendations for improvements.

w. Recommend the composition and identity of the DCS to the ASD(C³ I) in coordination with the Joint Chiefs of Staff.

x. Coordinate in the management of resources allocated for the National Military Command System (NMCS) ADP support with supported users.

y. Forward copies of requirements to the ASD(C³ I) and the Deputy Under Secretary of Defense for Policy. The latter official shall confirm and set priorities for such requirements.

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2. The Deputy Under Secretary of Defense for Policy shall provide guidance on matters of communications policy, requirements, and priorities.

3. The Chairman, Joint Chiefs of Staff (for the Joint Chiefs of Staff) under the authority and direction of the Secretary of Defense shall:

a. Provide guidance and, as appropriate, tasking to the Director, DCA, on military and communications doctrine and operational policies and procedures with regard to the development and operation of the Defense Communications System.

b. Review and provide recommendations to the ASD(C³ I) or to the Director, DCA, as appropriate, on DCS plans, subsystem/project plans, ADP support plans, other joint communications plans and related programing documents, and for those functions where DCA is responsive to the Joint Chiefs of Staff, review and provide recommendations on the joint manpower program submitted by DCA.

c. Provide advice to the ASD(C³ I) regarding the mission, functions, and responsibilities of the Director, DCA.

d. Provide guidance and direction on matters pertaining to the planning, design, maintenance, testing and evaluation on systems software for the WWMCCS standard ADP systems.

e. Develop and submit Joint Chiefs of Staff ADP requirements and priorities to the DCA.

f. Provide policy and guidance concerning the utilization and implementation of MILSATCOM systems.

g. Provide guidance concerning the relationships between the Commanders of the Unified and Specified Commands and DCA.

h. Provide operational direction and guidance to the Director, Defense Communications Agency, on matters related to:

(1) Ensuring that adequate and responsive communications support is provided the National Command Authorities, the JCS/OJCS, Unified and Specified Commanders, and the Military Departments, and that interfaces between DCS and tactical communications are maintained.

(2) Providing systems engineering and technical support for the operation of the National Military Command System (NMCS) and the Minimum Essential Emergency Communications Network (MEECN).

(3) Providing analytical and automated data processing (ADP) support to the JCS.

(4) Providing centralized technical support to the JCS, Military Departments, Defense Agencies and Unified and Specified Commands for the WWMCCS standard ADP program.

i. Provide advice to the Deputy Under Secretary of Defense for Policy regarding matters of communications policy, requirements, and priorities.

4. Commanders of Unified and Specified Commands shall:

a. Assess the responsiveness of the DCS to their operational needs. Conduct and participate in exercises and technical tests of the DCS and other communications systems.

b. Develop agreements to delineate clearly the command/operational relationships with the DCA field organization, within the commander's area of responsibility, to insure mutual responsiveness and coordination of effort.

5. The Secretaries of the Military Departments, in support of the DCA mission, shall:

a. Provide, within the limitation of available resources, full support and assistance to the Director, DCA, in accomplishing his mission. The operating elements of the DCS will be responsive to the operational direction of the Director, DCA.

b. Accomplish related functions in support of systems, subsystems, programs, and projects for which DCA is responsible; such as planning, programing, budgeting, funding, providing detailed engineering, procuring, transporting, installing, testing, accepting, manning, activating, deploying, operating, maintaining, training, administering, conducting research and development, and providing logistic support.

c. Obtain DCA concurrence on advance procurement plans and provide to DCA, for review and approval, technical specifications, statements of work, and, prior to execution, proposed contract changes impacting on configuration, cost, performance, or schedules of all systems for which DCA is responsible. Request DCA representation on source selection advisory councils and source selection evaluation boards for such systems, subsystems, and projects.

d. Advise the Director, DCA, of shortages of funds, personnel, facilities, or materials that would prevent effective operation and maintenance of existing systems or prevent or delay scheduled implementation of new subsystems/projects.

e. Submit long-haul, point-to-point telecommunications requirements to DCA for possible satisfaction within the DCS.

6. Other Defense Agencies within their assigned areas of responsibility shall:

a. Provide, within the limitation of available resources, full support and assistance to the Director, DCA, in accomplishing his mission.

b. Submit their long-haul, point-to-point, telecommunications requirements to the DCA for possible satisfaction within the DCS.

G. AUTHORITY

The Director, DCA, or his designee, is specifically delegated authority to:

1. Command the DCA and its field organizations.
2. Establish DCA headquarters and field organizations and, within overall authorized manpower, allocate military and civilian spaces among such organizations in accordance with the policy of the Office of the Secretary of Defense.
3. Have free and unrestricted communications with all elements of DoD, as well as with other organizations having national command, control, and communications responsibilities.
4. Exercise management control and operational direction of the DCS and redelegate such authority over DCS facilities and resources, as appropriate.
5. Establish the single control and reporting system for operational direction of the DCS and designate those DCS stations which shall function as reporting/reported-on stations within the system. DCA will coordinate information to be reported with the Military Departments to insure their requirements for DCS information are satisfied. Specific reporting requirements, as they are developed and prescribed, will be processed and approved consistent with the policies and criteria of DoD Directive 5000.19 (reference (c)).
6. Exercise subsystem/project management or management control over the activities of the Military Departments, the Unified and Specified Commands, and all of the other DoD Agencies in those areas of endeavor that directly support the establishment and progressive improvement of the DCS and provide technical support of the NMCS.
7. Prescribe, in coordination with appropriate DoD components, procedures, principles, standards, and practices to accomplish the assigned mission.

8. Prescribe interface parameters and standards, monitor the installation status of new facilities, specify data and reports required for system traffic engineering and traffic management, and provide DCS traffic management service with respect to subscriber terminal facilities accessing the DCS and as required to protect network integrity or to serve better the user's needs. In those cases where resource implications prevail, exercise of this authority requires mutual agreement with the Military Department or Defense Agency concerned, and the Assistant Secretary of Defense (Comptroller) when in excess of Military Department or Defense Agency resource authority or availability.

9. Obtain, in coordination with the appropriate DoD components, such plans, reports, and information as are required to accomplish the DCA mission.

10. Exercise the administrative authorities contained in enclosure 2 of this Directive.

H. ADMINISTRATION

* 1. The Director and Vice Director, DCA, will be commissioned officers *
* of suitable general or flag rank appointed by the Secretary of Defense from *
* officers of the Armed Forces on active duty. The Deputy Director, DCA, *
Military Satellite Communications System, will be appointed in accordance
with DoD Directive 5105.44 (reference (d)).

2. The appointment of other personnel to the DCA will be subject to the approval of the Director, DCA.

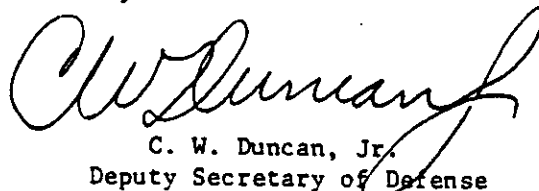
3. The DCA will be authorized such personnel, facilities, funds, and other administrative support as deemed necessary by the Secretary of Defense.

4. The Military Departments and other DoD components shall, within available resources, provide support as necessary to the DCA.

5. Personnel, facilities, equipment, and other support required to maintain and operate specific elements of the DCS and other national communications facilities as assigned, for which a Military Department or any other DoD component has been assigned responsibility, shall be provided from resources available to the Military Department or DoD components.

I. EFFECTIVE DATE

This Directive is effective immediately.


C. W. Duncan, Jr.
Deputy Secretary of Defense

Enclosures - 3

1. Definitions
2. Delegation of Authority
3. References

DEFINITIONS

1. Defense Communications System (DCS)

a. The DCS is a composite of DoD owned and leased telecommunications subsystems and networks comprised of facilities, personnel, and material under the management control and operational direction of the DCA. It provides the long-haul, point-to-point, and switched network telecommunications needed to satisfy the requirements of DoD and certain other Government agencies.

b. The DCS includes fixed, transportable, and mobile facilities as appropriate. It consists of:

(1) Switching/relay facilities, to include associated software, of the general purpose (common user) networks such as AUTOVON, AUTODIN, and Automatic Secure Voice Communications (AUTOSEVOCOM).

(2) Transmission media/circuits, which provide user/subscriber connection into or interconnect the switching/relay facilities of the DCS general purpose (common user) networks, or which interconnect the switching/relay facilities and/or the user/subscriber terminals in special purpose and operational (dedicated) networks which are authorized use of the DCS.

(3) The assets of the Defense Satellite Communications System, except any portions which are specifically excluded from the DCS.

c. The DCS does not include:

(1) The mobile/transportable communications facilities organic to Army forces, Air Force forces, fleets, and Fleet Marine forces.

(2) Ship/ship, ship/shore/ship, air/air, ground/air/ground, and other tactical telecommunications as defined in DoD Directive 4630.5 (reference (e)).

(3) Post, camp, base, and station user/subscriber facilities.

(4) The on-site telecommunications facilities associated with or integral to weapon systems and to missile launch complexes.

d. The above definition of the DCS is amplified as follows:

(1) Generally, the interface point of post, camp, base, or station (fixed or mobile) facilities (non-DCS) with the DCS is established at the main distribution frame of the user/customer facility. In specific cases, if required, the interface point may be any other point agreed to between the DCA and the Services or as prescribed by the ASD(C³ I) or the Joint Chiefs of Staff.

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(2) Telecommunications for weapon destruct at missile and air defense launch and firing complexes and for command, countdown, control, and range safety are non-DCS, unless specifically included; however, the establishment of standards for interface with the DCS is a DCA responsibility.

(3) Consoles and display devices integral to Unified and Specified Commands, their Component headquarters, and the Military Services' operations centers are non-DCS. The communications interfaces with these facilities, when operated with DCS communications, must be operationally and technically compatible with the DCS. Prescribing such interface standards is a DCA responsibility.

(4) The DCS includes those telecommunications required to interconnect the National Command Authorities (NCA), the Joint Chiefs of Staff, and Commanders of Unified and Specified Commands with the general purpose networks.

2. Operating Elements of the DCS. Organizations and units of DoD Components that operate and maintain DCS facilities.

3. DCA Field Organizations. Those elements of the DCA that are under the command of the Director, DCA, but are organizationally separate from the DCA headquarters.

4. Worldwide Military Command and Control System (WWMCCS). As defined in DoD Directive 5100.30 (reference (f)).

5. National Military Command System (NMCS). As defined in DoD Directive 5100.30 (reference (f)).

6. NMCS Technical Support. The engineering and ADP support efforts requisite to insure that NMCS functional requirements and performance objectives are met. Also see DoD Directive S-5100.44 (reference (h)).

7. Military Satellite Communications (MILSATCOM) Systems. As defined in DoD Directive 5105.44 (reference (d)).

8. The Minimum Essential Emergency Communications Network (MEECN). For purposes of this Directive, MEECN is defined as a composite of designated WWMCCS communications assets that, netted together, provide assurance that decisions of the NCA can be delivered from the NCA to US Forces during all periods of stress.

9. MEECN Technical Support. The engineering and support effort requisite to insure that the functional requirements and performance objectives of the Joint Chiefs of Staff are met. It includes system analysis, development and supervision of technical plans and tests, technical interface recommendations, and recommendations for development efforts to meet system objectives as assigned.

10. Operational Direction. The authoritative direction necessary to insure effective operation of the DCS. It includes authority to: direct the operating elements of the DCS, assign tasks to those elements, and supervise the execution of those tasks; allocate and reallocate DCS facilities to accomplish the DCA mission; develop technical standards, practices, methods, and procedures for the performance and operation of the DCA.
11. Management Control. The review, evaluation, coordination, and guidance of management actions necessary to fulfill the responsibilities outlined in this Directive.
12. Subsystem. A functional component of a system which provides a specific capability.
13. Project. An undertaking to analyze, plan, improve, modify, expand, or otherwise change a portion of a system. A project may pertain to elements of a subsystem, an entire subsystem, or a number of related subsystems or elements thereof.
14. Subsystem/Project Management. The continuing review, guidance, and approval, as appropriate, of actions taken in the development, processing, and implementation of approved subsystems/projects.
15. The DCS Plan. A master plan for the evolutionary development and improvement of the DCS in fulfilling communications requirements of the DoD and other Government agencies as authorized and directed. The DCS Plan will cover the period from the budget year to 10 years in the future and will be in consonance with the Joint Strategic Planning System.
16. Subsystem/Project Plan (S/PP). A plan which supports the processing of major telecommunications requirements. Normally it provides justification for the acquisition of a new subsystem, or modification of an existing subsystem, portions thereof, or a combination of related subsystems.
17. Management Engineering Plan (MEP). The control document to effect program implementation by all participating organizations. It is a compilation of documents which places in context the plans, schedules, costs, and scope of all work and resources to be provided by each participating organization. It identifies or specifies subsystem configuration, performance, and interface requirements; technical and operational standards and specifications; type of equipment to be used; work statements required; logistic support planning, integrated testing, and training; management approach to implementation; assignment of responsibility for conduct of all effort; a schedule for task accomplishment; and progress reports required.

18. Implementation/Installation Plan (I/IP). The document which provides such detail as is necessary to serve as a guide for the implementation phase. It specifies the efforts required by participating organizations, establishes detailed schedules, and includes or identifies, as appropriate, supporting plans and documents containing technical and performance specifications, detailed work statements, applicable standards, advanced procurement plans, logistics, training, installation and test plans, and supporting facility requirements. The I/IP responds to and supports the MEP.

19. Systems Engineering. The application of recognized engineering skills, techniques, and principles to the development of system concepts, associated technical design, and performance criteria used in planning, engineering, and implementing a system.

20. Subsystem/Project Engineering. That initial engineering necessary to support the development of the S/PP and similar plans and, subsequent to S/PP approval, the additional engineering refinements needed to define explicitly subsystem configuration, performance, reliability, maintainability, and other values or thresholds applicable to each subsystem component. This additional engineering, which may be included either in the MEP or issued separately, prescribes specific technical guidance for preparation of equipment specifications, control specifications, and other engineering detail to be included in the I/IP.

21. Detailed Engineering. That engineering necessary to prepare complete equipment and software technical design or performance specifications which provide a basis for procurement, design/development, and test and acceptance. It also includes that engineering performed to accomplish site surveys and to install and check out subsystem elements or components.

Aug 10, 78
5105.19 (Encl 2)

DELEGATION OF AUTHORITY

Pursuant to the authority vested in the Secretary of Defense, the Director, Defense Communications Agency (DCA), or, in the absence of the Director, the person acting for him is hereby delegated, subject to the direction, authority, and control of the Secretary of Defense and in accordance with Department of Defense (DoD) policies, directives, and instructions and pertinent Office of the Secretary of Defense regulations, authority as required in the administration and operation of DCA to:

1. Exercise the powers vested in the Secretary of Defense by Sections 301, 302(b), and 3101 pertaining to the employment, direction and general administration of DCA civilian personnel.

2. Fix rates of pay for Wage Board employees exempted from the Classification Act by Section 5102(c)(7) of Title 5 of the U.S.C. on the basis of rates established under the Coordinated Federal Wage System. DCA, in fixing such rates, shall follow the wage schedules established by the DoD Wage Fixing Authority.

3. Establish such advisory committees and employ such part-time advisers as approved by the Secretary of Defense for the performance of DCA functions pursuant to the provisions of 10 U.S.C. 173, 5 U.S.C. 3109(b), the Federal Advisory Committee Act (Public Law No. 92-463, October 6, 1972), and the agreement between the DoD and the Civil Service Commission on employment of experts and consultants, dated July 22, 1959.

4. Administer oaths of office incident to entrance into the executive branch of the Federal Government or any other oath required by law in connection with employment therein, in accordance with the provisions of the Act of June 26, 1943, as amended (5 U.S.C. 2903(b)) and designate in writing, as may be necessary, officers and employees of DCA to perform this function.

5. Establish a DCA Incentive Awards Board and pay cash awards to and incur necessary expenses for the honorary recognition of civilian employees of the Government whose suggestions, inventions, superior accomplishments, or other personal efforts, including special acts or services, benefit or affect DCA or its subordinate activities in accordance with DoD Directive 5120.15, dated December 3, 1965. (Act of September 1, 1954, as amended (5 U.S.C. 4503) and Civil Service regulations.)

6. In accordance with the provisions of the Act of August 26, 1950, as amended, (5 U.S.C. 7532); Executive Order 10450, dated April 27, 1953, as amended; and DoD Directive 5210.7, dated September 2, 1966 (as revised):

- a. Designate any position in DCA as a "sensitive" position.
- b. Authorize, in case of emergency, the appointment of a person to a sensitive position in the agency for a limited period of time for whom a full field investigation or other appropriate investigation, including the National Agency Check, has not been completed.
- c. Authorize the suspension, but not terminate the services, of an employee in the interest of national security in positions within DCA.

7. Clear DCA personnel and such other individuals as may be appropriate for access to classified material and information in accordance with the provisions of DoD Directive 5210.8, dated February 15, 1962 (as revised), "Policy on Investigation and Clearance of DoD Personnel for Access to Classified Defense Information," and of Executive Order 11652, dated March 8, 1972, as implemented by National Security Council Directive, dated May 17, 1972, and the provisions of DoD Directive 5200.1-R, "Information Security Program Regulation," dated November 15, 1973.

8. Act as agent for the collection and payment of employment taxes imposed by Chapter 21 of the Internal Revenue Code of 1954, and, as such agent, make all determinations and certifications required or provided for under Section 3122 of the Internal Revenue Code of 1954 (26 U.S.C. 3122) and Section 205(p)(1) and (2) of the Social Security Act, as amended (42 U.S.C. 405(p)(1) and (2)), with respect to DCA employees.

9. Authorize and approve overtime work for DCA civilian officers and employees in accordance with the provisions of Section 550.111 of the Civil Service regulations.

10. Authorize and approve:

- a. Travel for DCA civilian officers and employees in accordance with Joint Travel Regulations, Volume 2, Department of Defense Civilian Personnel, dated July 1, 1965, as amended.

- b. Temporary duty travel only for military personnel assigned or detailed to DCA in accordance with Joint Travel Regulations, Volume I, for Members of the Uniformed Services, dated November 1969, as amended.

- c. Invitational travel to persons serving without compensation whose consultative, advisory, or other highly specialized technical services are required in a capacity that is directly related to or in connection with DCA activities, pursuant to the provisions of Section 5 of the Administrative Expenses Act of 1946, as amended (5 U.S.C. 5703).

Aug 10, 78
5105.19 (Encl 2)

11. Approve the expenditure of funds available for travel by military personnel assigned or detailed to DCA for expenses incident to attendance at meetings of technical scientific, professional, or other similar organizations in such instances where the approval of the Secretary of Defense or a designee is required by law (37 U.S.C. 412). This authority cannot be redelegated.
12. Develop, establish, and maintain an active and continuing Records Management Program, pursuant to the provisions of Section 506(b) of the Federal Records Act of 1950 (44 U.S.C. 3102), the Freedom of Information Act (5 U.S.C. 552), and the Privacy Act (5 U.S.C. 552(a)).
13. Establish and use Imprest Funds for making small purchases of material and services other than personal for the DCA when it is determined more advantageous and consistent with the best interests of the Government, in accordance with the provisions of DoD Instruction 5100.71, dated March 5, 1973, and the Joint Regulation of the General Services Administration - Treasury Department - General Accounting Office, entitled "For Small Purchases Utilizing Imprest Funds."
14. Authorize the publication of advertisements, notices, or proposals in newspapers, magazines, or other public periodicals, as required, for the effective administration and operation of the DCA (44 U.S.C. 3702).
15. Establish and maintain appropriate Property Accounts for the DCA. Appoint Boards of Survey, approve reports of survey, relieve personal liability, and drop accountability for the DCA property contained in the authorized Property Accounts that has been lost, damaged, stolen, destroyed, or otherwise rendered unserviceable, in accordance with applicable laws and regulations.
16. Promulgate the necessary security regulations for the protection of property and places under the jurisdiction of the Director, DCA, pursuant to subsections III.A. and V.B. of DoD Directive 5200.8, dated August 20, 1954 (as revised).
17. Establish and maintain, for the functions assigned, an appropriate publications system for the promulgation of regulations, instructions, and reference documents, and changes thereto, pursuant to the policies and procedures prescribed in DoD Directive 5025.1, dated November 18, 1977.
18. Enter into support and service agreements with the Military Departments, other DoD agencies, or other Government agencies, as required, for the effective performance of responsibilities and functions assigned to the DCA.

Aug 10, 78
5105.19 (Encl 2)

19. Exercise the authority delegated to the Secretary of Defense by the Administrator of the General Services Administration with respect to the disposal of surplus personal property.

20. Enter into and administer contracts, directly or through a Military Department or other Government department or agency, as appropriate, for supplies, equipment, and services required to accomplish the mission of the DCA. To the extent that any law or Executive Order specifically limits the exercise of such authority to persons at the Secretarial level of a Military Department, such authority will be exercised by the appropriate Under Secretary or Assistant Secretary of Defense.

21. Enter into contracts for leasing communications facilities for periods not to exceed 10 years as prescribed in DoD Directive 5100.32, dated September 6, 1974.

The Director, DCA, may redelegate these authorities, as appropriate, and in writing, except as otherwise specifically indicated above or as otherwise provided by law or regulation.

This delegation of authority is effective immediately.

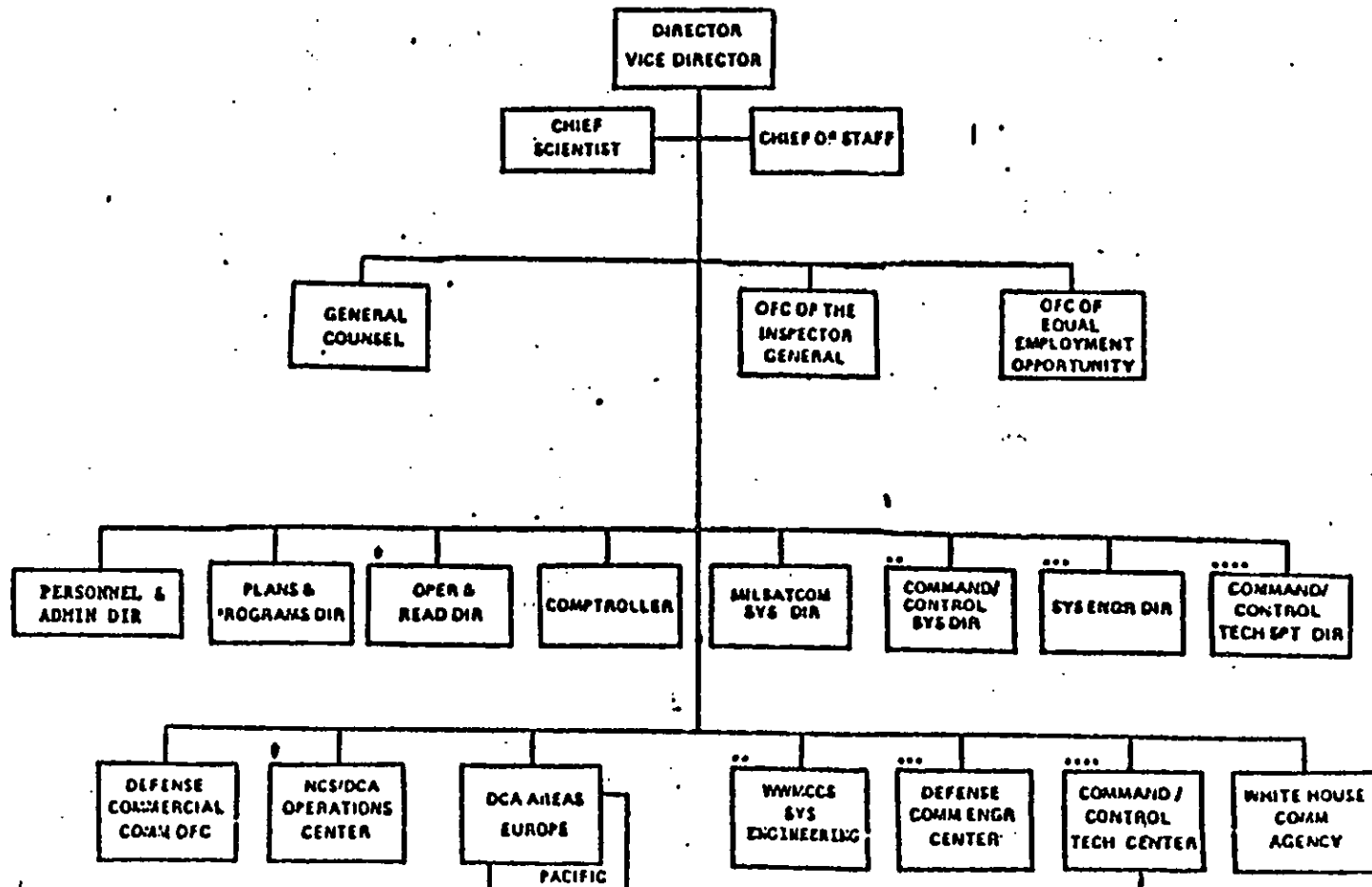
Aug 10, 1978
5105.19 (Encl 3)

References Continued

- (c) DoD Directive 5000.19, "Policies for the Management and Control of DoD Information Requirements," March 12, 1976
- (d) DoD Directive 5105.44, "Military Satellite Communications (MILSATCOM) Systems Organization," October 9, 1973
- (e) DoD Directive 4630.5, "Compatibility and Commonality of Equipment for Tactical Command and Control, and Communications," January 28, 1967
- (f) DoD Directive 5100.30, "World-Wide Military Command and Control System (WWMCCS)," December 2, 1971
- (g) DoD Directive S-5100.44, "Master Plan for the National Military Command System" (U), June 9, 1964



DEFENSE COMMUNICATIONS AGENCY



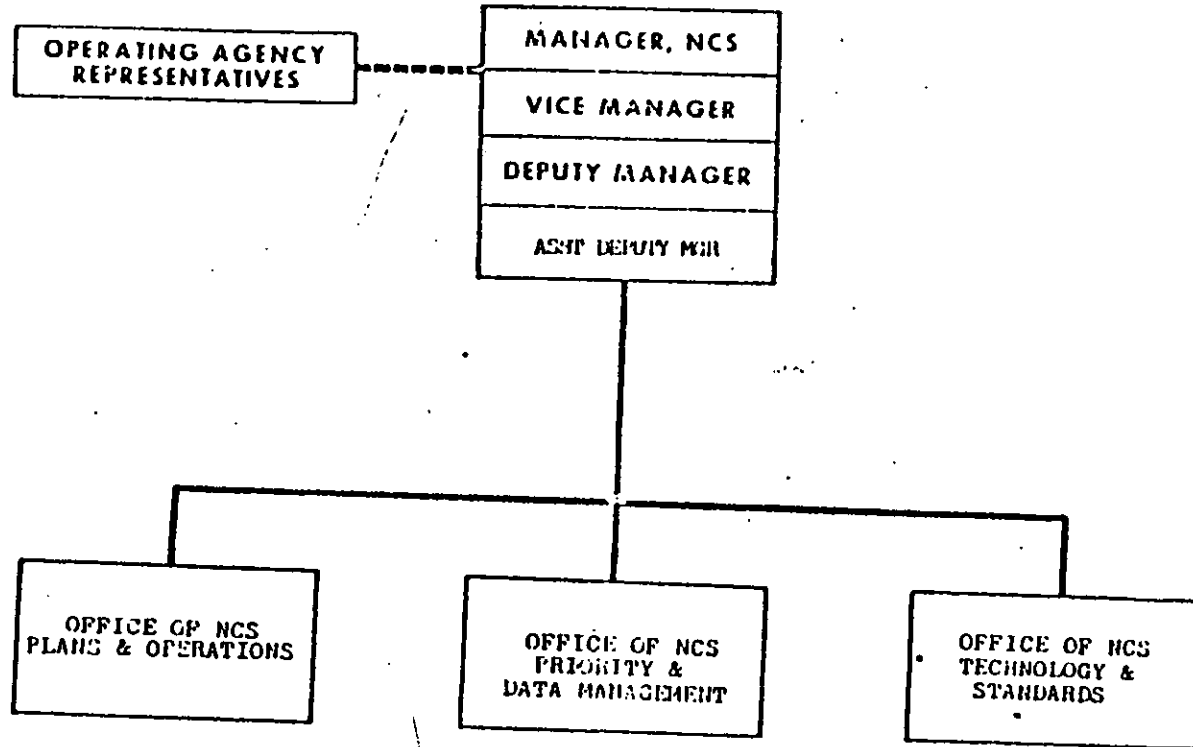
* DEP DIR, OPERATIONS & READINESS/COMMANDER, NCS/DCAOC
 ** DEP DIR, COMMAND & CONTROL SYSTEMS/WWMCCS SYSTEM ENGINEER

*** DEP DIR, SYSTEMS ENGINEERING/DIRECTOR, DCIC
 **** DEP DIR, COMMAND & CONTROL TECHNICAL SUPPORT/DIR, CCTC

Level C



NATIONAL COMMUNICATIONS SYSTEM ORGANIZATION



Encl d

DEFENSE COMMUNICATIONS AGENCY

DIRECT BUDGET PLAN (TOA)

(Thousands of Dollars)

<u>Appropriation Account Title</u>	<u>Direct Budget Plan (TOA)</u>	
	<u>FY 1980 Estimate</u>	<u>FY 1981 Estimate</u>
O&M, Defense Agencies	103,744	125,334
Operations (Total)	(133,918)*	(159,719)
Procurement, Defense Agencies	6,635	7,053
RDT&E, Defense Agencies	46,383	58,254
MILCON, Defense Agencies	-	-
CSIF (RMS Basis)	(1,142)*	(1,249)
Total (Budget Basis)	156,762	190,641
TOTAL (RMS Basis)	(188,078)*	(226,275)

* Includes cost of military resources

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5 December 1980

MEMORANDUM FOR THE SPECIAL ASSISTANT TO THE SECRETARY OF DEFENSE

SUBJECT: Transition Information

The briefing material requested in your November 11, 1980 memorandum is enclosed. Please contact Mr. Goodrum, phone number 692-2877, if there are any questions regarding the material.

FOR THE DIRECTOR:

SIGNED

R. M. MARTONE
Deputy Comptroller

1 Enclosure a/s

Copy To:
Under Secretary of Defense, Research and Engineering
Assistant Secretary of Defense, Communications, Command,
Control and Intelligence

UNCLASSIFIED WHEN
ATTACHMENTS ARE DETACHED

Encl 2

DEFENSE COMMUNICATIONS AGENCY

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UPON REMOVAL OF ATTACHMENTS THIS
DOCUMENT BECOMES UNCLASSIFIED

DEFENSE COMMUNICATIONS AGENCY

I. Introduction

The Defense Communications Agency (DCA) is an agency of the Department of Defense under the direction, authority and control of the Assistant Secretary of Defense (Communications, Command, Control and Intelligence) (ASD(C³I)). The Military Departments support DCA in the accomplishment of its mission by performing tasks in support of approved plans and programs, operating communications facilities, and advising DCA on problems and requirements.

RESPONSIBILITIES OF THE DIRECTOR, DCA

The Director of the Defense Communications Agency (DCA) has responsibilities which encompass major DoD communications and command and control functions. These include the Defense Communications System, the World-Wide Military Command and Control System the various Military Satellite Communications Systems and the National Communications System. In addition, the Director of DCA has separate and distinct responsibilities as Manager of the National Communications System and Chairman of the Military Communications-Electronics Board. A description of the functions which he performs in support of these major responsibilities follows.

A. Defense Communications System (DCS)

1. Ensures that the DCS is managed, planned, engineered, established, improved, and operated as a system to effectively and economically meet the long-haul, point-to-point telecommunications requirements of the National Command Authorities, the Department of Defense, and other governmental agencies, as directed.

2. Advises the Secretary of Defense and the Secretaries of the military departments, the Joint Chiefs of Staff, and the commanders of the unified and specified commands on matters concerning the DCS.

B. World-Wide Military Command and Control System (WWMCCS)

1. Serves as Director of the WWMCCS Systems Engineering effort for DoD. In this capacity, he is responsible for the general system engineering necessary to ensure that the National Command Authorities can effectively direct United States forces in any type of conflict.

2. Provides centralized technical support to all DoD elements for the WWMCCS standard ADP systems.

3. Provides for the technical system design, systems engineering, and technical supervision of technical support to the National Military Command System (NMCS), an element of WWMCCS, and to other related systems.

4. Provides analytical and ADP support to OSD, JCS and other DoD components.

C. Military Satellite Communications (MILSATCOM)

Under policy and guidance provided by ASD(C³I) through the JCS, serves as the MILSATCOM system architect for accomplishing system functions applicable to the totality of DoD satellite communications. In executing these functions he defines the system performance criteria for MILSATCOM systems, and in collaboration and coordination with the DoD Components, establishes overall goals for MILSATCOM systems, and prepares long-term system plans containing appropriate alternatives and options to meet system goals.

D. National Communications System (NCS)

Serves as Manager of the NCS. As manager of the NCS, he is responsible for the execution of such tasks as may be assigned and directed by the Secretary of Defense.

E. Leased Communications

Procures leased communications services, facilities and equipment through the Communications Services Industrial Fund (CSIF) for all of DoD and for other governmental agencies as may be designated by the Secretary of Defense; and performs rate and tariff surveillance over such actions.

F. Military Communications-Electronics Board (MCEB)

As Chairman of the MCEB, he coordinates on military communications-electronics matters among DoD components, between DoD and other U.S. Governmental departments and agencies, and between DoD and representatives of foreign nations.

G. White House Communications Agency (WHCA)

The White House Communications Agency is responsible for providing immediate communications support to the President at all times. The Director, DCA is responsible for programing, budgeting, funding and technical support for WHCA. A detailed description of the role of WHCA will be addressed by the Military Assistant to the President.

II. MAJOR SYSTEMS

Defense Communications System (DCS)

The DCS is a single, integrated communications system, composed of both government-owned and leased facilities. DoD communications which provide local service on camps, posts, and stations, or which are tactical systems organic to field commands, or are integral to specified weapon systems are not a part of the DCS. The DCS has 610 communications operations facilities which serve users at approximately three thousand locations worldwide. The primary purpose of the DCS is to provide communications so that the military commanders from the President on down will be able to direct U. S. military forces. Effective command and control (C²) requires more than the ability to transmit an order to "Charge!" Backing up any such capability is a communications system which can be used to order parts, coordinate personnel movements, and arrange by message or phone all the details that make any worldwide organization operate. Therefore, the DCS provides the means to connect command posts, weather networks, intelligence networks, dispersed tactical units, headquarters supply agencies, large automated data processing centers, facsimile machines, and people - all by electronic communications.

World-Wide Military Command and Control System (WWMCCS)

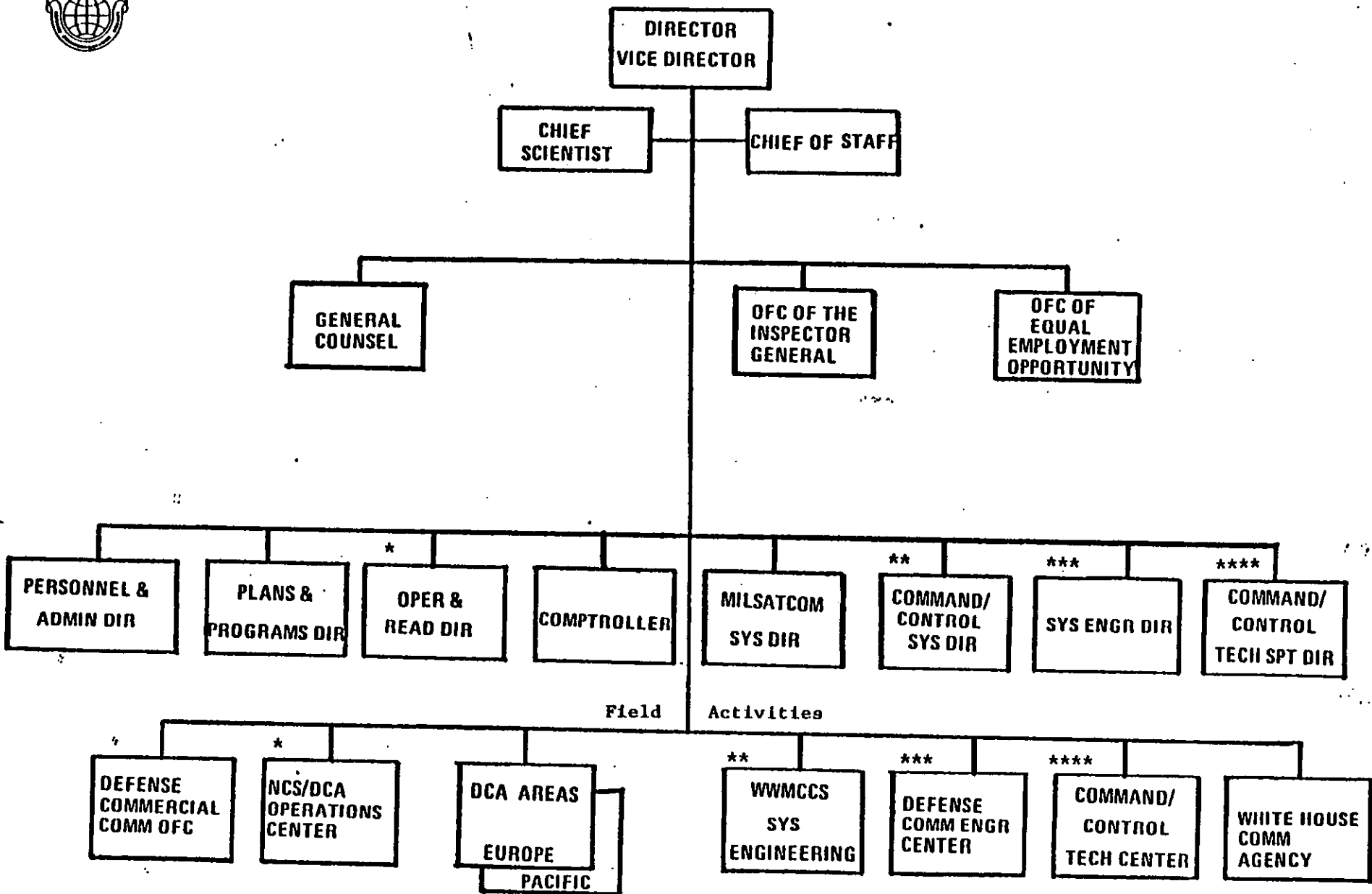
The WWMCCS is the World-Wide Military Command and Control System that provides the means for operational direction and technical administrative support involved in the function of command and control of U.S. military forces. More specifically, the WWMCCS consists of command and control (C²) subsystems which enable the National Command Authority (i.e., the President and the Secretary of Defense), the Joint Chiefs of Staff, and military commanders at appropriate subordinate levels to direct and control the operations of U.S. military forces. The DCS directly supports the Worldwide Military Command and Control System (WWMCCS) ADP program with over 500 dedicated data circuits to the National Military Command Center (NMCC). Alternate NMCC, National Emergency Airborne Command Post (NEACP), Unified and Specific Commands, transportation operating agencies, and the military services.

National Communications System (NCS)

The NCS is a confederation in which certain Federal agencies participate with their assets to provide necessary communications for the Federal Government under all conditions ranging from a normal situation to national emergencies and international crises, including nuclear attack. The primary assets of the NCS include telecommunications networks of the Departments of State, Defense, Interior, Commerce, Energy and the Federal Aviation Administration, the General Services Administration, the Central Intelligence Agency, the National Aeronautics and Space Administration, the Federal Emergency Management Agency, and the International Communication Agency.



DEFENSE COMMUNICATIONS AGENCY



III. ORGANIZATION CHART

*DEP DIR, OPERATIONS & READINESS/COMMANDER, NCS/DCAOC

**DEP DIR, COMMAND & CONTROL SYSTEMS/WWMCCS SYSTEM ENGINEER

*** DEP DIR, SYSTEM ENGINEERING/DIRECTOR, DCEC

**** DEP DIR, COMMAND & CONTROL TECHNICAL SUPPORT/ DIR, CCTC

IV. KEY STAFF MEMBERS

Director

Lieutenant General William J. Hilsman, USA

Vice Director

Major General John H. Jacobsmeyer, Jr., USAF

Chief Scientist/Associate Director, Technology

Dr. Irwin L. Lebow

Deputy Director, Personnel and Administration

Mr. Harlis D. Starnes

Deputy Director, Plans and Programs

Brigadier General Frank H. Baker, USA

Deputy Director, Operations and Readiness

Brigadier General Thomas C. Nelson, USA

Comptroller

Mr. Robert W. Helms

Deputy Director, Military Satellite Communications Systems

Captain Ralph L. Spaulding, USN (Acting)

Deputy Director, Command and Control Technical Support

Brigadier General Donald J. Bowen, USAF

Deputy Director, Command and Control Systems

Mr. David R. Israel

Deputy Director, Systems Engineering

Colonel George R. Whitley, USA

Commander, White House Communications Agency

Brigadier General Josiah Blasingame, Jr.

Deputy Manager, National Communications System

Mr. Joseph Rose

V. DEFENSE COMMUNICATIONS AGENCY
SUMMARY BUDGET ESTIMATES

<u>Appropriation/Account Title</u>	<u>(\$ in Thousands)</u>	
	<u>FY 1981</u>	<u>FY 1982</u>
RDT&E, Defense Agencies		
Procurement, Defense Agencies		
Military Construction, Defense Agencies		
O&M, Defense Agencies		
Total (Budget Basis)		

DEFENSE COMMUNICATIONS SYSTEM

BUDGET ESTIMATES
for FY 1981-1982

The DCS resources summarized below provide for (1) the day-to-day operation of the existing system and (2) support the evolutionary development and implementation of a secure, interoperable Defense Communications System for use in a peace-time to post-attack environment.

	(\$ Millions)	
	<u>FY 1981</u>	<u>FY 1982</u>
<u>ARMY</u>		
Research and Development		
Procurement		
Military Construction		
Operations and Maintenance		
Military Personnel		
TOTAL		
<u>NAVY</u>		
Research and Development		
Procurement		
Military Construction		
Operations and Maintenance		
Military Personnel		
TOTAL		
<u>AIR FORCE</u>		
Research and Development		
Procurement		
Military Construction		
Operations and Maintenance		
Military Personnel		
TOTAL		
<u>DCA</u>		
Research and Development		
Procurement		
Military Construction		
Operations and Maintenance		
Military Personnel		
TOTAL		

DEFENSE COMMUNICATIONS SYSTEM

BUDGET ESTIMATES (CONTINUED)
for FY 1981-1982

(\$ Millions)

FY 1981

FY 1982

OTHER DEFENSE AGENCIES

Research and Development
Procurement
Military Construction
Operations and Maintenance
Military Personnel

TOTAL

SUMMARY

Research and Development
Procurement
Military Construction
Operations and Maintenance
Military Personnel

TOTAL

MANPOWER

Military
Civilian

TOTAL

COMMUNICATIONS SERVICES INDUSTRIAL FUND (CSIF)

BUDGET ESTIMATES
for FY 1981-1982

DCA operates the CSIF which acquires leased communications services for dedicated point-to-point requirements and funds the operation of the common-user networks (such as the DoD Automated Voice Network and the Automatic Digital Network) with subsequent recoupment of costs from the military departments through the use of pre-determined and published monthly rates. CSIF funds programmed for FY 1981 and FY 1982 are as follows:

	(\$ Millions)	
	<u>FY 1981</u>	<u>FY 1982</u>
ARMY		
NAVY		
AIR FORCE		
DEFENSE AGENCIES		
NON-DEFENSE AGENCIES		
TOTAL		

WORLDWIDE MILITARY COMMAND AND CONTROL SYSTEM

BUDGET ESTIMATES
for FY 1981-1982

The DCA resources summarized below are also included as a part of the Defense Communications Agency Summary Budget Estimates. These WWMCCS resources provide for systems engineering and technical support to the National Military Command System, technical support for WWMCCS standard ADP systems and analytical support to OSD and JCS. In addition, they provide for the system engineering of the WWMCCS and the management of the central development and acquisition of standard WWMCCS Information System components and the CINC initiatives funding.

DCA

	(\$ Millions)	
	<u>FY 1981</u>	<u>FY 1982</u>
RDT&E		
PROC		
MILCON		
O&M		
MILPERS		
TOTAL		

In its role as WWMCCS System Engineer, DCA reviews the programs and budgets of the military departments and others, as they pertain to WWMCCS, and provides recommendations to OSD on these programs and budgets.

Those portions of the military department budgets identified by WWMCCS program elements are summarized below:

ARMY

	(\$ Millions)	
	<u>FY 1981</u>	<u>FY 1982</u>
RDT&E		
PROC		
MILCON		
O&M		
MILPERS		
TOTAL		

BUDGET ESTIMATES (CONTINUED)
for FY 1981-1982

NAVY

	(\$ Millions)	
	<u>FY 1981</u>	<u>FY 1982</u>
RDT&E		
PROC		
MILCON		
O&M		
MILPERS		
TOTAL		

AIR FORCE

	(\$ Millions)	
	<u>FY 1981</u>	<u>FY 1982</u>
RDT&E		
PROC		
MILCON		
O&M		
MILPERS		
TOTAL		

WMCCS budgets of the JCS, USMC, DNA and others are not included by individual breakout, but they are included in the following WMCCS total:

WMCCS TOTAL

	(\$ Millions)	
	<u>FY 1981</u>	<u>FY 1982</u>
RDT&E		
PROC		
MILCON		
O&M		
MILPERS		
TOTAL		

WMCCS MANPOWER (END STRENGTH IN UNITS)

MILITARY	
CIVILIAN	
TOTAL	

VI. MANPOWER AUTHORIZATIONS

	<u>Officers</u>	<u>Enlisted</u>	<u>Total Military</u>	<u>Civilian</u>	<u>Total</u>
HQ, DCA	130	21	151	387	538
Field Activities	364	1009	1373	1261	2634
TOTAL DCA	494	1030	1524	1648	3172

VII. ISSUES

There are no issues which require special attention soon after January 9, 1981.

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17 DEC 1980

MEMORANDUM FOR THE ASSISTANT SECRETARY OF DEFENSE COMPTROLLER (ADMINISTRATION)

SUBJECT: Transition Information

Reference: (a) ASDC(A) Memo, Request for Information, 25 Nov 80

Information requested pertaining to personnel is forwarded in enclosure 1; information pertaining to budget, program and general information is in enclosure 2. Questions on this input may be referred to Mr. Goodrum, phone number 692-2877.

FOR THE DIRECTOR:

Signed

2 Enclosures a/s

R. W. HELMS
Comptroller

Copy To:
ASD(C³I)

Incl 3

Personnel Information

Question #4 1. Name and title of anticipated SES hire:

David Signori
Deputy WWMCCS System Engineer (System Definition and Analysis)

Question #5 2. Hq DCA has hired the following individual consultants on the dates indicated:

Kenneth L. Jordan - 5 November 1980
Cecil J. Waylon - 24 November 1980

- a. These individuals provide advice and consultation to the Deputy Director, Military Satellite Communications System Office, in connection with the development of a goal architecture for the next generation satellite communications system.
- b. These individuals will be supervised by Dr. Irwin Lebow, DCA Chief Scientist and Associate Director.

Question #6 3. Hq DCA does not anticipate contracting with any firm for consulting services, as defined in OMB Circular A-120, between 1 November 1980 and 21 January 1981.

Question #7 4. a. Hq DCA manpower end strength authorizations for FY 77-81 are as follows:

<u>FY</u>	<u>Military</u>	<u>Civilian</u>	<u>Total</u>
77	138	391	529
78	149	378	527
79	150	383	533
80	149	383	532
81	152	380	532

4. b. On 30 November 1980 there were 10 military and 37 civilian vacant positions in Hq DCA.

Budget, Program and General Information

- Question #3 1. The DCA internal operating budgets for FY 80 and 81 are as follows. (Note: FY 81 budget is still subject to change.)

<u>Appropriation</u>	<u>(\$ in Thousands)</u>	
	<u>FY 80</u>	<u>FY 81</u>
RDT&E	46,383	58,254
Procurement	6,635	7,053
Military Construction	0	0
Operations & Maintenance	<u>103,744</u>	<u>125,334</u>
Total	156,762	190,641

- Question #5 2. DCA will not publish any regulatory type actions or amendments during the period 1 November 1980 - 21 January 1981.

- Question #8 3. DCA will not issue any draft or final environmental impact statements during the period 1 November 1980 - 21 January 1981.

- Question #9 4. A list of DCA reports which are provided to organizations outside DoD is attached as Tab A.

<u>REPORT TITLE</u>	<u>AUTHORITY</u>	<u>DUE DATE</u>
Continuation of Pay for Disabling, Job-Related Traumatic Injuries Sustained by Federal Employees (0063-DOL-QU)	20 CFR 10.206	NLT 30 calendar days after end of calendar quarters
Report of DoD Civilians Employed by OSD and the Defense Agencies (0144-DOL-QU)	DoDI 7730.29	NLT 30 calendar days after end of calendar quarters
Interagency Reporting Requirements for Occupational Injuries, Illnesses and Accidents (1146-DOL-XX)	DoDD 1000.3, E.O. 11807, 29 CFR 1960.6/7/8	NLT 60 calendar days after end of calendar year
Report on Government Employment and Payrolls (DL/DCA(M)1)	DOL Bulletin #31	NLT 10 days after end of each month
Federal Telecommunications Information in Support of Federal Emergency Plan D (0089-DoD-SA)	Annex C-XI to Plan D (Telecommunications)	15 Dec, 15 Jun
Report on Budget Execution - FAA (BUDGET(M)1024-A)	OMB Circular A-34	NLT 10 days after end of each month
Reporting of Federal Outlays by Geographic Location (1167-OMB-AN)	DoDI 7710.3	NLT 45 days after the end of fiscal year
Inventory of Circuits by FAA Regions (0185-DOT-MO)	FAA Order 4441.13	NLT 10 days after end of each month

<u>REPORT TITLE</u>	<u>AUTHORITY</u>	<u>DUE DATE</u>
Annual Summary of Records Holdings (1094-GSA-AN)	FPMR 101-11.102-7	NLT 30 days after the close of each fiscal year
Agency Report of Motor Vehicle Data (1102-GSA-AN)	DoDI 4500.39	Within 60 days of the end of each fiscal year
Quarterly Report of ADP Service Provided to Another Agency or Obtained from a Commercial Service (1106-GSA-QU)	FPMR 101-32.470-1	NLT the 15th of Jan, Apr, Jul, & Oct of each year
Annual Report on Federal Advisory Committees (1121-GSA-AN)	FPMR 101-11.1203	NLT 60 days after the end of each fiscal year
2 Pre-Complaint Counseling Report (1038-EEO-MO)	FPM Ltr 713-19, 30 Jan 73	Within 15 calendar days of close of each calendar month
Report on Discrimination Complaint Processing (1039-EEO-MO)	FPM Ltr 713-19, 30 Jan 73	Within 15 calendar days of close of each calendar month
Report on Federal Employees Occupational Health, Alcoholism and Drug Abuse Problems (0058-OPM-AN)	CSC Bulletin 792-20, 20 Oct 76	By 31 January of each year
Work-Years and Personnel Costs for DoD Civilian Employment (0197-OPM-AN)	DoDI 7720.22	By November 8 of each year

<u>REPORT TITLE</u>	<u>AUTHORITY</u>	<u>DUE DATE</u>
Monthly Report of Federal Civilian Employment (1032-OPM-MO)	DoDI 7730.18, CSC Bul 312-5	NLT the 15th day following the month of the report period
Monthly Payroll Report of Federal Civilian Employment (1033-OPM-MO)	DoDI 7730.18, CSC Bul 291	NLT the 15th day following the month of the report period
Report on Temporary Summer Employment (1035-OPM-MO)	DoDI 7730.18, CSC Bul 308-24	NLT the 15th day following the month of the report period
Annual Report of Training Activities (1056-OPM-AN)	CSC Bul 410-86	NLT 15 Nov for the fiscal year ending on the previous 30 Sep
ω Incentive Awards Program (1059-OPM-AN)	FPM Chap 451, Subchapter 24	NLT 15 Nov for the fiscal year ending on the previous 30 Sep
List of Recognitions and Agreements (1060-OPM-AN)	DoDD 1426.1, CSC Bul 711.33	NLT 15 Nov for the fiscal year ending on the previous 30 Sep

12 ✓

DEFENSE LOGISTICS AGENCY

The attached documents represent all of the issue papers prepared by DLA for the Reagan Transition team. Nothing has been omitted or deleted from the documents.



DEFENSE LOGISTICS AGENCY

HEADQUARTERS
CAMERON STATION
ALEXANDRIA, VIRGINIA 22314

4 DEC 1980

IN REPLY
REFER TO DLA-L

MEMORANDUM FOR THE SPECIAL ASSISTANT TO THE SECRETARY OF DEFENSE

SUBJECT: Transition Coordination

Reference your memorandum of November 11, 1980, subject: Transition Coordination.

Attached at Enclosure 1 is a brief description of the mission and organization of the Defense Logistics Agency as well as some general budget information. At Enclosure 2 are the following fact sheets concerning some of the major issues facing the Agency:

Implementation of the Recommendations of the DoD Task Force to Study Audit, Inspection, and Investigative Components in the Department of Defense

Mobilization Requirements Determination and Sustainability of U.S. Forces

The Realignment of the DLA's Defense Contract Administration Region Headquarters

Realignment of Item Management Assignments

Military Construction Planning Fund Requirements for Fiscal Year 1981

2 Encls

GERALD J. POST
Lieutenant General, USAF
Director

Copy to: ASD(MRA&L)

Defense Logistics Agency

The Defense Logistics Agency (DLA) was established as the Defense Supply Agency in October of 1961.

The Agency employs approximately 48,000 civilian and military personnel at its headquarters (approximately 900) in Alexandria, Virginia, twenty-five primary level field activities and almost 600 other locations (170 overseas) throughout the world.

The Agency is headed by a three-star military officer appointed by the Secretary of Defense and approved by the President. He is the director of an operational military logistics organization responsible for providing responsive, effective and economical worldwide support to the Military Services and other DoD components, Federal civil agencies, foreign governments and others. The Director represents the Agency and the Department of Defense at the highest echelons of government, including relationships with: Congress, the DoD and Military Departments, senior representatives of foreign governments, industry and the public at large.

The Defense Logistics Agency

- . operates a wholesale distribution system for assigned items
- . provides contract administration services in support of the Military Services and other DoD components, NASA, other Federal civil agencies, and foreign governments
- . administers logistics programs, including
 - .. the Federal Catalog System
 - .. the Defense Materiel Utilization Program
 - .. Executive Agent for Materiel Redistribution via the Defense Redistribution Activity
 - .. the DoD Excess, Surplus, and Foreign Excess Personal Property Disposal Program
 - .. the DoD Precious Metals Recovery Program
 - .. the DoD Retail Interservice Support Program
 - .. the DoD Industrial Plant Equipment Program and School Loan Program
 - .. the DoD-wide program for redistribution/reutilization of excess automatic data processing equipment
 - .. monitoring DoD/GSA supply relationships
 - .. the DoD Military Standard Logistics Systems, including the Defense Automatic Addressing System

- .. the Technical Report Services (Data Bank Services)
- .. Program Manager for the Defense Energy Information System
- .. DoD Coordinated Acquisition Program
- .. operating the Military Parts Control Advisory Groups for standardization of parts at the system equipment design stage
- .. assigned logistics operations pertinent to the National Civil Preparedness Program
- .. assigned aspects of the DoD Food Service Management Program
- .. DoD-wide Interchangeable/Substitutable Program
- .. Logistics Data Element Standardization and Management Program
- .. DoD Hazardous Material Data System
- .. Commercial Commodity Acquisition Program
- .. Commercial Item Support Program
- .. providing manpower data support to DoD and other government agencies
- .. operating DoD Automated Placement Programs

The approximately 48,000 personnel authorized to the Defense Logistics Agency are assigned at the Headquarters and:

- .. six commodity oriented Supply Centers or inventory control points. Two of which have collocated depots.

- . five Service Centers

- . four independent Defense Depots

- . nine Defense Contract Administration Regions that geographically divide the United States

Of this number, approximately 1,100 are military, from all four Services, with 15 General and Flag Officers.

DLA receives approximately 25 million requisitions per year with almost 20 million of these being filled directly with assets stocked in the DLA distribution system. The Agency administers contracts with a face value of over \$88 billion. Yearly direct obligations include:

- . over \$1 billion in the operation and maintenance appropriations

- . over \$17 million in the Research Development Test and Evaluation Appropriation

- . over \$7 million in the Procurement Defense Agencies Appropriation
- . over \$16 million in the military construction area
- . over \$23 million in the Defense Industrial Fund
- . over \$11 billion in the Defense Stock Fund

SUBJECT: Implementation of the recommendations of the DoD Task Force to study audit, inspection, and investigative components in the Department of Defense.

DISCUSSION: In 1979, statutory positions of Inspectors General were established in a number of civilian agencies to marshal these agencies' resources to combat fraud and waste. In the same law that set up these positions (P.L. 95-452), the Congress, recognizing the existing resources and the unique mission and structure of DoD, required the establishment of a Task Force, independent of DoD, to study the operation of the audit, investigative, and inspection elements in DoD which engage in the prevention and detection of fraud, waste, and abuse.

The Task Force issued a report of its study dated 1 May 1980 and recommended against a statutory, independent position of DoD Inspector General but did urge that an office be set up by DoD to give direction to DoD efforts against fraud and waste. Additionally, the Task Force recommended that the Defense Audit Service and Defense Investigative Service report to this new office. Substantial additional resources were identified as being needed by DIS to carry out its criminal investigative mission. The Task Force recommended against any organizational move for the Inspectors General of the Military Departments and for the Defense Logistics Agency.

DLA, with its large logistics missions and world-wide operations is a major consumer of audit, inspection, and investigative resources. DLA

is served very well with the organizational placement of its own Inspector General and strongly urges that the structure remain intact. DLA recognizes that improvements can be made in the direction of DoD's internal audit and investigative activities.

ACTION REQUIRED:

1. Establish a DoD office to provide general policy guidance for the internal audit and criminal investigative activities of the DoD agencies charged with these functions.
2. Assign the Defense Audit Service and Defense Investigative Service to the supervision of this new office.
3. Substantially augment the criminal investigative capabilities of the Defense Investigative Service. The Task Force recommended that DIS provide greatly increased investigative support to the Defense agencies but noted that it is not adequately staffed to meet even its current requirements.
4. A team set up by the DoD General Counsel and Comptroller and representing DLA, DCAA, DIS, and DAS was established to support OSD efforts to implement the Task Force recommendations. This team should be provided direction to complete its assignment which is in abeyance during the transition.

SUBJECT: MOBILIZATION REQUIREMENTS DETERMINATION AND SUSTAINABILITY
OF U.S. FORCES

DISCUSSION: To successfully carry out our overall strategic concepts for national defense, U.S. combat forces must be able to deploy in a timely manner with sufficient critical and essential items to sustain them until resupply can be effected.

. Mobilization planning is geared to OPLAN execution and establishment of a specific number of days of war reserve stocks that should be maintained either in the theater of operations or in CONUS.

. Requirements determination for repair parts has not received as much attention as other more visible items such as munitions, petroleum products, subsistence; therefore, there is a lack of identification of repair parts that should be pre-stocked.

. Where definitized requirements have been made known, the necessary commitment of funds, resources and facilities has not been totally made; therefore; serious deficiencies occur across the range of known requirements.

Both requirements determination and sustainability of forces with known requirements need more emphasis and support within the DoD, OMB and the Congress. In mobilization and wartime, the factors that determine our capability to sustain combat forces center on the availability of military essential items that can only be met by war reserve stocks. Maintaining substantial quantities of War Reserve materiel, munitions and fuels in our peacetime inventories to support combat forces in war is a costly but essential element of materiel readiness and a prime factor in sustaining U.S. forces once they are deployed.

RECOMMENDATION: Increase emphasis on identification of requirements, by item, to execute OPLAN. Concurrently, sustainability deficiencies need to be reviewed and commitment of resources to stock, modernize or expand facilities, or other actions necessary to have a viable response posture should be made.

SUBJECT: The Realignment of the Defense Logistics Agency's Defense Contract Administration Region Headquarters

DISCUSSION:

- The Agency currently operates nine Region Headquarters located in Atlanta, Boston, Chicago, Cleveland, Dallas, Los Angeles, New York, Philadelphia and St. Louis.

- Responsible for providing contract administration for the Department of Defense on approximately 272,000 contracts.

- March 1979, the Department of Defense announced the realignment of the current nine Regions into five in order to achieve efficiencies and economies in operation.

- Region headquarters at New York and Philadelphia would be closed in FY 1981; Cleveland and Dallas would be closed in FY 82.

- Annual recurring savings estimated at \$14M.

- Intense Congressional resistance to the closures emanated from those localities identified to lose jobs (New York, Philadelphia, Cleveland, Dallas)

- Congressmen Edgar and Dougherty (Pennsylvania)

- Senator Glenn, Congresswoman Oaker (Ohio)

- Congressman Frost (Texas)

- October 1979, the Department of Defense announced a change to the previous closures.

- Chicago Regional Headquarters would close in lieu of Cleveland.

- August 1980, the Department of Defense announced a second change.

- Atlanta Regional Headquarters would close in lieu of Philadelphia..

- September 1980, the Assistant Secretary of Defense for Manpower, Reserve Affairs and Logistics requested the Defense Logistics Agency review the previous decision to close the New York Region in lieu of the Boston Region and to examine the workload and geographic boundaries associated with the East Coast Defense Contract Administration Regions (New York, Boston, Philadelphia and Atlanta).

- A report will be provided to the Assistant Secretary of Defense (Manpower, Reserve Affairs and Logistics) in the Spring of 1981.

- Since the East Coast Regions are best examined as part of the total system, the review has been expanded to include all nine Regions.

•• The Defense Logistics Agency will consider alternative organizational structures, projected increases in defense contracting and computer systems which support the Defense Contract Administration Services Regions' activities.

• Due to the foregoing, the level of Congressional interest has increased.

- Senators Nunn and Talmadge, Congressman McDonald (Georgia)
- Senator Thurmond (South Carolina)
- Senators Tower and Bentsen (Texas)
- Senators Percy and Stevenson, Congressmen Annunzio, Hyde and Crane (Illinois)
- Congressman Addabbo (New York)
- Senator Kennedy (Massachusetts)

ACTION REQUIRED:

• Because of Congressional concern generated by the controversy that surrounds base realignments, the new Administration should become familiar with the issue and support the Department of Defense decisions that achieve efficiencies and economies in operation.

SUBJECT: Realignment of Item Management Assignments

DISCUSSION:

- A proposal to transfer the Item Management responsibility for approximately 1.1 million consumable items from the Military Services to the Defense Logistics Agency (DLA) was forwarded to the Deputy Secretary of Defense for decision in June 1980.
- This proposal has the potential to produce an annual savings of \$110 million through the reduction of personnel spaces required by the Services to accomplish the responsibility. DLA would accomplish the responsibilities with some 3,735 fewer personnel spaces than the Military Services.
- The proposal was made in December 1978 by the Deputy Secretary of Defense and forwarded to the Military Services, the Defense Logistics Agency, the Defense Nuclear Agency, and the National Security Agency for their comments and concurrence.
- The Military Services objected to the proposal on several grounds. The Assistant Secretary of Defense for Manpower, Reserve Affairs, and Logistics, directed a review of the proposal by the Defense Audit Service to either validate or reject the Military Services objections.
- The Defense Audit Service review rejected the objections of the Services based on reduced supply support effectiveness if the Defense Logistics Agency became the Item Manager. The Defense Audit Service review did adjust the potential savings downward from \$124 million per year to a savings of \$110 million per year and reduced the projected manpower spaces saved from 4,912 to 3,735.
- To date, no decision has been announced.

ACTION REQUIRED: Because of Congressional concern generated by potential job loss in Congressional districts that result from functional realignments -- and the equal concern regarding the potential operational savings and related impact upon military readiness -- the new Administration should become familiar with the case and make an early decision on this issue.

SUBJECT: Military Construction Planning Fund Requirements for Fiscal Year 1981

DISCUSSION:

Congressional action approved only half of DoD's request of \$14 million in planning and design funds for Defense Agencies. Defense Logistics Agency's (DLA) request for design funds, alone, exceeds this \$7 million approval.

Planning and design funds required for DLA's Fiscal Year 1981 are as follows:

	<u>(\$000)</u>
Complete Design - FY 81-82 Programs	3,650
Initiate Preliminary Design - FY 83 Program	+ <u>4,350</u>
	\$8,000
Initiate Preliminary Design - FY 84 Program	+ <u>1,800</u>
	\$9,800
Less Funds On Hand	- <u>1,500</u>
	\$8,300

Design funds for FY 81 exceed the normal fiscal year cost levels to support increased fuel storage facilities as follows:

	<u>Total Project Cost</u>
FY 83 complete preliminary design (Guam)	\$57 million
FY 84 initiate preliminary design (Alaska)	\$88 million

ACTION REQUIRED:

Appropriate additional military construction design funds.

DEFENSE INVESTIGATIVE SERVICE

The attached documents were provided to the Carter-Reagan Transition team by the DIS. The documents are provided in their entirety.

7 JAN 1981

MEMORANDUM FOR DEPUTY ASSISTANT SECRETARY OF DEFENSE (ADMINISTRATION),
OASD(C)
Attention: Mr. Wilson

SUBJECT: Information for the Transition Team

- REFERENCE: (a) Defense Investigative Service Memorandum,
"Request for Information," dated December 18, 1980.
- (b) FONECON between Mr. Wilson and Mr. Sproul,
January 6, 1981.

Attached is information regarding personnel assigned to the Defense
Investigative Service (DIS) Headquarters as requested in reference b.

[Signature]
BERNARD J. O'DONNELL
Director

Attachment
Personnel Strengths

[Signature]
LTC Anderson

425 1/7/81
V0200
V0300
1/7/81

[Signature]
V0003 V0000

FULL-TIME PERMANENT PERSONNEL ON-BOARD DURING LAST FOUR YEARS

<u>DIS Headquarters</u>	<u>End of FY</u>				<u>Vacancies</u>
	<u>77</u>	<u>78</u>	<u>79</u>	<u>80</u>	<u>as of</u> <u>5 Jan. 81</u>
Office of the Director			4	4	0
Office of the Inspector General			4	1	2
Office of Information and Legal Affairs			5	8	1
Investigations Directorate			12	10	2
Management and Resources Directorate			34	40	6
Information Systems Directorate			4	4	0
Personnel and Security Directorate			37	41	4
TOTAL	125*	105*	100	108	15

*Breakout of on-board strength by directorate and special staff not available for FY77 and 78.

MR. SPROUL/cm/31427/31 Dec 80

December 31, 1980

MEMORANDUM FOR THE SPECIAL ASSISTANT TO THE SECRETARY OF DEFENSE

SUBJECT: Transition Coordination

REFERENCE: (a) Special Assistant to the Secretary of Defense Memorandum,
"Transition Coordination," dated November 11, 1980


(b) Telecon Col Klick, December 30, 1980

Briefing materials for the President-elect's defense transition team are provided in accordance with reference. This material is provided in two parts:

1. Talking Paper on actions to reduce the personnel security investigations backlog, Attachment 1.

2. Briefing Book on the organization and functions of the Defense Investigative Service, Attachment 2.

We stand ready to be of further assistance should the requirement arise.


BERNARD J. O'DONNELL
Director

2 Attachments

1. Talking Paper
2. Briefing Book

TALKING PAPER

DISHQ/36613
1 December 1980

SUBJECT: Actions to Reduce Personnel Security Investigations Backlog

1. BACKGROUND:

a. During the last three years, requests for personnel security investigations (PSI) have increased by 19 percent, causing a 145 percent increase in the PSI pending caseload. Coupled with a decrease of 2 percent in the number of authorized personnel, this impact has resulted in an increase of 63 percent in the time required to complete the average case from 70 days to 114 days. The maximum acceptable completion time demanded by requesters is 65 days. This increase in average case completion time would have been greater had it not been for a 9 percent increase in the productivity of DIS agents during the last three year period. We do not anticipate further productivity increases in the future, unless we do it at the expense of quality.

b. The increase in workload is due primarily to an increase in clearance requirements for DoD contractors. The continued development of sophisticated military hardware systems will keep the PSI workload at a high level. If DIS is to provide timely investigative service in the future, it will need continued budgetary support.

2. SUMMARY

a. To reduce the rise in the number of PSI backlog, Deputy Secretary of Defense Claytor approved on 16 October 1980, 304 additional personnel authorizations for DIS in FY 81 in support of the PSI program and granted a waiver of the two-for-one hiring restrictions.

b. Until such time new investigators are hired and trained, the case completion times will continue to increase beyond the present turnaround time peaking sometime in mid-FY81. Based on the budgeted workload, the increase in resources will enable DIS to stop the case backlog escalation and eventually reduce the average PSI completion time within the next five years to approximately 65 days. The achievement of this goal would of course be affected by changes in the budgeted workload. To achieve the goal of a 65 day average completion time sooner than FY 1985, assuming requests for PSIs remain constant, DIS will require additional resources.



DEFENSE INVESTIGATIVE SERVICE
1900 HALF STREET, S.W.
WASHINGTON, D.C. 20324

18 DEC 1980

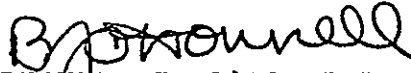
MEMORANDUM FOR THE DEPUTY ASSISTANT SECRETARY OF DEFENSE
(ADMINISTRATION), OASD (C)

SUBJECT: Request for Information

REFERENCE: (a) Deputy Assistant Secretary of Defense
Memorandum, "Request for Information,"
dated November 25, 1980

In accordance with reference above, the following information, keyed to paragraphs listed in TAB "A," is provided in two parts:

1. Personnel - Attachment 1.
2. Budget, Program, and General Information - Attachment 2.


BERNARD J. O'DONNELL
Director

- 2 Attachments
1. Personnel Info.
 2. Budget, Program
and Gen. Info.

PERSONNEL

4. No Senior Executive Service personnel, supergrades, or Schedule C employees have been hired since November 1, 1980. With the possible exception of the Director's position, which is temporarily filled by a reemployed annuitant, DIS has no plans to appoint anyone to one of these three types of positions prior to January 21, 1981.

5. None

6. None

7. The following chart represents the DIS full-time permanent strength on the designated dates:

<u>DATE</u>	<u>CIVILIAN STRENGTH</u>	<u>MILITARY STRENGTH</u>
09/30/76	1148	643
09/30/77	1409	371
09/30/78	1422	197
09/30/79	1490	227
09/30/80	1497	177

As of 12/12/80, the authorizations and assigned strengths are provided as follows:

<u>PROGRAM</u>	<u>ALLOCATED AUTHORIZATIONS</u>		<u>ASSIGNED STRENGTHS</u>		<u>VACANCIES</u>	
	<u>Civ</u>	<u>Mil</u>	<u>Civ</u>	<u>Mil</u>	<u>Civ</u>	<u>Mil</u>
*Industrial Security Program	726	15	545	13	181	2
Investigations	1931	130	1691	148	240	0
TOTAL	2657	145	2236	161	421	2

*This program was transferred to DIS from the Defense Logistics Agency on October 1, 1980.

BUDGET, PROGRAM AND GENERAL INFORMATION

3. Internal operating budget for FY80 (Actual) and FY81 (Estimated) as shown in the FY82 budget submission is as follows (shown in thousands):

<u>Object Class.</u>	<u>FY80</u>	<u>FY81</u>
11.1 Perm. Pos.	29,476	50,336
11.3 Other than Perm.	61	97
11.5 Other Pers. Compens.	242	282
Total Per. Compens.	<u>29,779</u>	<u>50,715</u>
12.1 Personnel Benefits	3,218	6,357
21.1 Travel	564	2,027
22.0 Transportation	191	705
23.1 Fed. Bldg. Fund	1,092	1,699
23.2 Rent, Commo. & Utilities	1,227	1,573
24.0 Printing	83	347
25.4 Contracts	834	1,076
25.6 Other	836	2,315
26.0 Supplies	1,061	1,492
31.0 Equipment	44	248
Total Direct	<u>38,929</u>	<u>68,554</u>
Reimbursement	<u>8</u>	<u>10</u>
Total Obligational Authority	<u>38,937</u>	<u>68,564</u>

4. None

8. None

9. None

9 DEC 1980

MEMORANDUM FOR DEPUTY ASSISTANT SECRETARY OF DEFENSE (ADMINISTRATION),
OASD(C)
Attention: Art Ehlers

SUBJECT: Information for the Transition Team

REFERENCE: (a) Deputy Assistant Secretary of Defense Memorandum,
"Information for the Transition Team," dated
December 4, 1980.

In accordance with reference above, a detailed Defense Investigative Service
(DIS) organizational chart and listing of assigned personnel filling key
positions and their grades are provided as Attachments 1 and 2.

Signed

BERNARD J. O'DONNELL
Director

2 Attachments

1. Organization Chart
2. Personnel Listing

[Signature]
LTC Anderson

[Signature] 12/9/80
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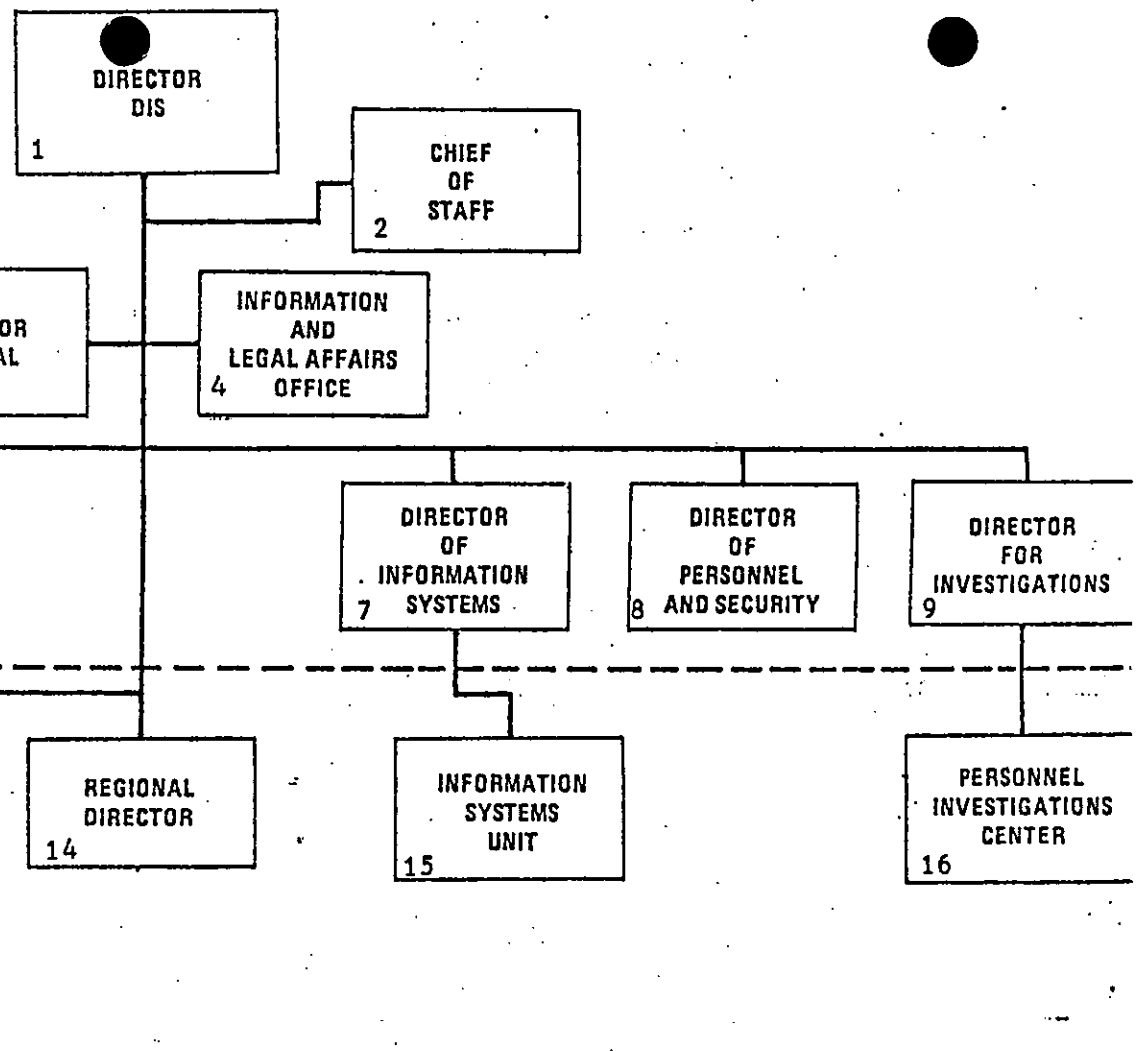
[Signature]
12/9



DEFENSE INVESTIGATIVE SERVICE

Management Headquarters

Field Units



APPROVED:
B. Brannell
Director
Defense Investigative Service
November 1950

Senior Civilian and Military Personnel
Assigned to DIS
(Keyed to Organizational Chart)

1. Bernard J. O'Donnell, SES-4
2. John L. Sproul, GS-15
3. Vacant, GS-14
4. Dale L. Hartig, LT Col, USA
5. Frank Larsen, GS-15
6. Dr. Frederick E. Taylor, GS-15
7. Francis R. Gappelletti, GS-15
8. M. Arnold Werner, GS-15
9. Bernard H. Steacy, SES-4
10. Michael Craig, GS-14 (Brussels, Belgium)
11. Jonathan S. Van Horn, Col, USA (Columbus Ohio)
12. Jay M. Russell, Col, USAF (Richmond VA)
13. William G. Dupree, GS-15
14. Ten regional directors:
 - Arthur J. Sullivan, GS-15 (Boston MA)
 - John N. Held, GS-15 (Philadelphia PA)
 - Donald P. Barron, GS-15 (Washington DC)
 - Norman H. Hempel, GS-15 (Norfolk VA)
 - William G. Bell, Jr., GS-15 (Chicago IL)
 - William L. Diven, LT Col USAF (Kansas City MO)
 - Frederick E. Robey, Jr., GS-15 (New Orleans LA)
 - Howard G. Willis, Col, USAF (San Antonio TX)
 - William R. Clayton, GS-15 (San Francisco CA)
 - David L. McDonald, GS-15 (Los Angeles CA)
15. Robert Cameron, GS-14 (Baltimore MD)
16. James V. Richie, GS-15 (Baltimore MD)

DEFENSE INVESTIGATIVE SERVICE

<u>TITLE</u>	<u>SECTION</u>
INTRODUCTION	1
THE ORIGIN OF DIS	2
ORGANIZATIONAL DEVELOPMENT	3
SUMMARY OF HEADQUARTERS FUNCTIONS	4
INVESTIGATIVE POLICY AND PROGRAMS	5
PERSONNEL INVESTIGATIONS CENTER	6
THE DEFENSE INDUSTRIAL SECURITY CLEARANCE OFFICE	7
THE DEFENSE INDUSTRIAL SECURITY INSTITUTE	8
SPECIAL INVESTIGATIONS UNIT	9
DEFENSE INVESTIGATIVE SERVICE'S INITIATIVES IN COMBATING FRAUD, WASTE, AND ABUSE IN DOD AGENCIES	10
BUDGET	11
MANPOWER	12
WORKLOAD	13
ADP SYSTEMS	14
LOGISTICS	15
ATTACHMENTS	16

INTRODUCTION

The Defense Investigative Service is a separate agency of DoD under the direction, authority and control of the General Counsel. Its mission is to conduct (1) personnel security investigations, (2) law enforcement investigations for DOD components as authorized by the General Counsel, (3) other investigations and related operations as directed by the General Counsel; and (4) to administer assigned defense industrial security programs on behalf of the Department of Defense and other federal departments and agencies as directed. This information brief contains a synopsis of the origin of DIS, its organizational development, and current status.

THE ORIGIN OF DIS

A Blue Ribbon Defense Panel, in 1970, stated that DoD personnel security investigative work was a non-combatant function in which some consolidation might lead to savings. This observation was based upon the conclusion that the military services were duplicating locations, geographical coverage and communications, as well as overhead, administration and training. The matter was not initially pursued within Defense, but was further studied within the Office of Management and Budget (OMB), resulting in 1971, with an OMB recommendation and approval by the President, the creation of an "Office of Defense Investigation."

On 5 November 1971, a White House press release (Attachment 1) announced the approval by the President of various proposals relating to the reorganization of the national intelligence community. Two major proposals affecting DOD related to consolidation of the defense mapping agencies and the consolidation and restructuring of the cryptologic activities. The third major item resulted in the creation of the Defense Investigative Service (DIS); the press release stated that an "Office of Defense Investigation (ODI)" would be established to consolidate DOD personnel security investigations.

Better management, more efficient use of resources, and qualitative improvements were the reasons advanced for the directed changes.

The role of the new "Office of Defense Investigation" was not specifically detailed in the documentation underlying the press release, and the Secretary of Defense established a study group to determine what that role should be. In the ensuing weeks, several functional alternatives were considered:

Personnel Security Investigations (PSIs) only,
PSIs and Counterintelligence (CI), and
PSIs/CI and Criminal Investigations.

These alternatives were staffed through the military departments and the Joint Chiefs of Staff, and recommendations were made to the Secretary of Defense.

Finally, on 29 December 1971, the Secretary of Defense issued a memorandum establishing the Defense Investigative Service. The Secretary assigned responsibility for the Defense Investigative program, for the staff supervision of DIS, and for program management of its resources to the Assistant Secretary, Comptroller. He, thus, clearly separated the Personnel Security Investigative function from the Intelligence function within DOD.

He prescribed a phased course of action for the planning and activation of the Service and designated existing field resources and certain activities for transfer. In this initial directive, the Secretary also expressed the intention to study the future transfer of additional functions to DIS.

DIS was established by the Secretary on 1 January 1972 to function initially as a planning group.

On 18 April 1972, the Charter was published in the form of DOD Directive 5105.42. This established DIS as a separate operating agency under the direction of the Secretary of Defense. It also prescribed the overall organization, mission, responsibilities, functions and authorities of the new agency.

The most significant features of the Charter were that:

- a. DIS was created essentially to provide personnel security investigative services to DOD.
- b. When DIS disclosed matters of a significant criminal and counter-intelligence nature during the course of a PSI, the case was to be referred to that governmental agency having investigative or disciplinary jurisdiction.
- c. DIS geographical area of responsibility was limited to the 50 states and the Commonwealth of Puerto Rico.
- d. DIS could be called upon for investigative support in any specific area the Secretary of Defense might direct.

The existing National Agency Check Center (NACC), the Defense Central Index of Investigations (DCII), and portions of field elements of the three military Service investigative agencies engaged in PSIs were designated for consolidation. Also to be transferred to the auspices of DIS were those elements of the headquarters and supporting activities of the three Services that were engaged in the supervision, control, and processing of personnel security investigations.

Space for the headquarters, operating centers, and support activities was procured in the Forrestal Building, Washington, DC, and at Fort Holabird, Baltimore, MD, where DIS acquired the former Army Intelligence School Building.

Perhaps the most complex matter involved in the planning was the identification of military service field resources for transfer to DIS. In each military department, the PSI function was integral to a larger functional area performed by a major investigative organization. But in each case the

mission, make up, and total functions of the organization were unique. Furthermore, each of these service investigative agencies enjoyed non-reimbursable base support, the cost of which was not included in the investigative activities' program element. Thus, the transfer of resources could not be accomplished by whole units and activities. Each related organizational structure had to be split in proportion to its various missions, and recombined into DIS elements and residual service elements.

On 1 May 1972, DIS took over case control of some DoD PSIs and operational control of the NACC. On 2 October 1972, DIS became fully operational, forming its field organization from portions of the existing military Service investigative agencies.

In meeting one of the basic goals set at the creation of DIS, the resource consolidations resulted in many net savings to the government. For example, in personnel, the three military departments had programmed some 3,378 spaces for the PSI mission in FY 1973. The initial DIS authorization was for 3,000 or some 378 fewer spaces than originally programmed. As a result of the transfer of the PSI function, the three military departments were able to deactivate some 400 operating locations and 421 subordinate operating elements, while the DIS field organization consisted of only 246 such elements. Also, DIS required 243 fewer vehicles than the Services. Similar net savings were realized in other mission-related material and facilities.

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Organizational Development

The Defense Investigative Service (DIS) consists of a management headquarters, 10 regional offices and several unique entities: The Special Investigations Unit; the Personnel Investigations Center; the Information System Unit; the Defense Industrial Security Clearance Office; the Defense Industrial Security Institute; and the Office of Industrial Security, International.

The headquarters and Special Investigations Unit are located at 1900 Half Street, SW, Washington, DC, while the Personnel Investigations Center and the Information Systems Unit are located nearby at Baltimore, MD. The remaining units are widely separated: The Defense Industrial Security Clearance Office is at Columbus, OH; Defense Industrial Security Institute, Richmond, VA; the Office of Industrial Security, International, Brussels, Belgium; and the 10 regional offices are located at Boston, MA; Philadelphia, PA, Alexandria, VA; Norfolk, VA; New Orleans, LA; Chicago, IL; Kansas City, MO; San Antonio, TX; San Francisco, CA; and Los Angeles, CA. At Attachment 2 and 3 are the current organizational charts. At Attachment 4 is a current map of the DIS field organization and its boundaries.

The headquarters emphasizes a highly centralized organization and reflects the desire to relieve field units of administrative burdens to allow concentration on investigations.

The Special Investigations Unit (SIU) supervises and controls criminal investigations and fraud prevention surveys for all DoD agencies, as

part of its mission to provide the full range of criminal investigation support, and other selected investigative tasks the General Counsel may direct.

The Personnel Investigations Center (PIC) initiates, controls, closes and disseminates all Personnel Security Investigations conducted for the Department of Defense and its components, while retaining the original file in the Investigative Files Repository. Its organizational chart is provided at Attachment 5.

The Information Systems Unit (ISU), located at Baltimore, MD, maintains and operates the agency ADP systems.

The Office of Industrial Security, International, provides advice, guidance and assistance on industrial security matters to contractors and U.S. interests in Europe, the Middle East and Africa.

The Defense Industrial Security Institute develops and presents courses of instruction on industrial security matters to personnel of DoD, other U.S. government personnel and industry in support of the Industrial Security Program, DoD Information Security Program and the program for safeguarding of conventional arms, ammunition and explosives.

The Defense Industrial Security Clearance Office determines the eligibility of industrial personnel for access to classified information. Its organizational chart is provided at Attachment 6.

The regional offices and their subordinate field offices provide guidance and limited administrative and logistical support to their subordinate elements. Each region also has supervisory responsibilities for criminal investigations conducted by their subordinate elements.

Under the direction of the Regional Director of Industrial Security, or the Cognizant Industrial Security Officer, as it is often called, each regional office is responsible for processing and granting facility security clearances; processing owners, officers, directors, and executive personnel of facilities involved in security clearance actions; adjudication of cases involving foreign ownership, control or influence, and taking appropriate action relative to security violations and compromises; acting as catalyst on classification management problems; and maintaining operational statistical data.

Field offices and their assigned resident agencies perform the basic missions of DIS. Elements responsible for personnel security investigations receive cases from the PIC, conduct the investigations under the supervision of a Special Agent-in-Charge, and return completed cases to the PIC where they are reviewed for sufficiency and released to requesters. These field elements also receive criminal investigative leads from the SIU or other field components. In addition, those field elements which are assigned to support a local unit of the Defense Logistics Agency (DLA) may initiate criminal investigations upon receipt of a request from the DLA unit. Criminal investigation reports require approval of the Regional Director of Investigations, who, in turn, forwards them to the SIU and requester as appropriate. The Special Agent-in-Charge of a field office has authority over subordinate resident agencies, and the field office provides centralized clerical support for offices within their jurisdiction.

Industrial security representatives located at the industrial security field offices and resident agencies are the day-to-day contact point between assigned industrial facilities and the Cognizant Industrial Security Office (Regional Director of Industrial Security). They are responsible for conducting facility security clearance surveys; recurrent industrial security inspections; industrial facility protection surveys; inspections of possessors of conventional arms, ammunition, and explosives manufactured for DOD; and administrative inquiries to security violations and/or compromises of classified information. The industrial security representative's primary role is that of an advisor and assistant to industrial facilities in maintaining acceptable standards of information protection, facility protection, personnel protection and safeguarding conventional arms, ammunition and explosives.

The present organizational structure has undergone several major changes since DIS was formed in 1972, the most recent being the takeover of the Defense Industrial Security Program. Some of these changes deserve mention.

DIS was organized with a management headquarters and a Special Investigations Center (responsible for supervising all issue-oriented PSI and criminal cases) in the Forrestal Building; a Personnel Investigations Control Center, National Agency Check Center, and a Support Systems Center at Fort Holabird; and 20 district headquarters with 161 subordinate field offices and 83 subordinate resident agencies in the field.

A series of reorganizations have taken place commencing with the inactivation of six districts in July 1975 prompted mainly by directed manpower reductions. Subsequent recommendations by the Surveys and Investigations staff of the House of Representatives' Appropriations Committee and additional manpower decrements caused the inactivation of four more districts in April 1976. The remaining 10 district headquarters were reorganized as regional field offices with reduced administrative overhead while assuming an operational role.

In January 1976, the separate National Agency Check Center and the Support Systems Center were merged with the Personnel Investigations Center resulting in a reduction in supervisory and managerial positions.

In October 1977, at the direction of OSD, the Special Investigations Center was also merged with the Personnel Investigations Center, and the Special Investigations Unit was established to supervise the conduct of criminal investigations and fraud prevention surveys falling within the purview of DIS.

In regard to the latter, DIS, in its earliest days, was periodically called upon by OSD to conduct criminal or other special investigations of a very complex nature. Personnel of the Special Investigations Center at the Forrestal Building performed these investigations in addition to processing issue-oriented cases. Later, in May 1974 when DIS was designated, along with the military services, to provide criminal investigative support to DLA, management of criminal investigations was included in the duties of one sub-unit of the SIC.

In October 1977, this function was assigned as the sole responsibility of the newly identified Special Investigations Unit.

In November 1979 DIS was directed to provide personal protection for the National Security Advisor to the President. Accordingly, 18 special agents, with six used as "reserves" have been trained, furnished firearms and deputized as US Marshals to perform this duty. The protection extends to the principal when he leaves White House grounds, including travel to foreign countries.

In July 1980, DIS, for the first time in its history, commenced a formal training program to instruct its new agents in a basic Personnel Security Investigations Course, a functional responsibility previously held by the Air Force Office of Special Investigations (AFOSI). The basic training, previously conducted at the Forrestal Building, is now being conducted at the classroom facilities of the Defense Industrial Security Institute, Richmond, VA, a recent DIS acquisition.

Effective 1 October 1980, at the direction of the Deputy Secretary of Defense, administration of the Defense industrial security programs was transferred from the Defense Logistics Agency (DLA) to the DIS. As part of this action, DLA was directed to transfer 648 spaces. Subsequent efforts have resulted in an additional 88 spaces being allocated by OSD for this function. The next effect of this action was to set in motion the process of arresting and eventually reversing the dangerous erosion which these programs had experienced for the past several years as a result of increased workload and reduced resources. Steps have been taken to realign

industrial security cognizance functions under the 10 regions of DIS with program management being handled by a staff at DIS headquarters under a Director for Industrial Security. To avoid turbulence among assigned personnel and assigned contractors, existing Cognizant Security Offices remained in place with the exception of Chicago which was consolidated into the Cleveland Office. Steps have also been taken to reestablish a Cognizant Security Office in San Francisco and to establish a new Cognizant Security Office in Washington, D.C. These latter offices will become operational in early 1981 and the overall success of this effort will be directly contingent upon unrestricted filling of all vacancies.

SUMMARY OF HQ FUNCTIONS

KEY PERSONNEL

Director	Bernard J. O'Donnell
Chief of Staff	John L. Sproul
Inspector General	Vacant
Chief, Information and Legal Affairs Office	LtCol Dale L. Hartig, USA
Legal Advisor	Edmund F. McBride, Jr.
Director for Information Systems	Francis R. Cappelletti
Director for Investigations	Bernard H. Steacy
Director for Industrial Security	Frank Larsen
Director For Management and Resources	Frederick E. Taylor
Director for Personnel and Security	M. Arnold Werner
Director, Special Investigations Unit	William G. Dupree
Director, Personnel Investigations Center	James V. Richie
Regional Directors	
Boston, MA	Arthur J. Sullivan
Philadelphia, PA	John N. Held
Washington, DC	Donald P. Barron
Norfolk, VA	Norman H. Hempel
Chicago, IL	William G. Bell, Jr.
Kansas City, MO	LtCol William L. Diven, USAF
New Orleans, LA	Frederick E. Robey, Jr
San Antonio, TX	Col Howard G. Willis, USAF
San Francisco, CA	William R. Clayton
Los Angeles, CA	David L. McDonald

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DIRECTOR
DEFENSE INVESTIGATIVE SERVICE

Provides a single, centrally directed personnel security investigative (PSI) service for the Office of the Secretary of Defense, military departments, Office of the Joint Chiefs of Staff, unified and specified commands, the Defense agencies, and other U.S. government agencies when authorized by the General Counsel. Administers on behalf of the Department of Defense and other departments and agencies, programs for the safeguarding of classified information and conventional arms, ammunition and explosives entrusted to industry and furnishes advice and assistance to designed "key facilities" in plant protection, emergency preparedness and restoration planning.

Provides criminal investigative and fraud prevention survey support to the Defense Logistics Agency (DLA) and all DoD agencies; conducts special investigations as directed by the General Counsel. Provides clearances of industrial facilities and personnel; conducts surveys and inspections of industrial facilities and provides specialized training for industry and government.

Investigative activity is limited to the 50 states, the District of Columbia, and the Commonwealth of Puerto Rico. In all other types of investigations, the assigned mission is performed in geographic areas as authorized by the General Counsel. While surveys and inspections of industrial facilities are limited to the U.S., its territories and possessions, personnel security clearances for industry are handled worldwide as is liaison with cleared personnel, U.S. activities, foreign governments and NATO.

Is responsible for operation of a consolidated Personnel Investigations Center; manages the Defense Central Index of Investigations; operates the Defense Industrial Security Clearance Office which processes and grants personnel security clearances for contractor personnel; the Defense Industrial Security Institute which provides specialized security training courses; and the Office of Industrial Security, International in Brussels, Belgium which provides service to contractors, U.S. activities, foreign governments and NATO.

Biographical sketch of the Director is reflected on the next page.

BERNARD J. O'DONNELL, ES-04
Director
Defense Investigative Service

Mr. O'Donnell was born on 27 September 1923 in Quincy, Massachusetts. During World War II, he served with the Army Air Corps. He graduated from Boston University in 1949 with a degree of Bachelor of Science in Business Administration, and in 1966 he was awarded the degree of Master of Business Administration from Xavier University, Cincinnati, Ohio.

From 1950 to 1954, he was a Special Agent of the Federal Bureau of Investigation. In August 1954, he joined the Air Force Office of Special Investigations (AFOSI) at the Headquarters in Washington, D. C. He was assigned as a supervisor of espionage and counterespionage cases, and subsequently became chief of the section controlling these cases. During 1955 and 1956, in addition to his duties with AFOSI, he served as a member of the Military Personnel Security Committee at Hq U. S. Air Force. In August 1956, he was assigned to Europe where he served as Special Assistant to the Chief, Counterintelligence Division, AFOSI Hq, U. S. Air Forces in Europe (USAFE), and later was appointed as a Special Assistant to the Director of AFOSI (USAFE), with specific responsibility for all liaison with the United States and foreign intelligence, security and police agencies throughout the European theater of operations. In July 1960, he was reassigned to Wright-Patterson AFB, Ohio, where he became Chief, Procurement Investigations Division of AFOSI District 5. He was later appointed Chief, Criminal Investigations Division, of that district and served in that capacity until September 1969 when he was transferred to AFOSI Hq as Chief, Fraud Investigations Division. In August 1970, Mr. O'Donnell was designated Director of the AFOSI Personnel Investigations Control Center. While in that capacity, his Directorate was designated action office for both the Air Force and the Joint Chiefs of Staff in preparing the first Charter for the Defense Investigative Service (DIS). During the initial planning for the DIS, he was Chairman, Investigative Control Center Committee, with responsibility for establishing the mechanics for centralizing the control of all personnel security investigations conducted by DoD investigative agencies, developing standards and instructions for field investigative operations and instructions for the users of DIS services. Mr. O'Donnell was the first Assistant Director for Operations of DIS, which became operational on 1 October 1972, and served in that capacity until his appointment as Acting Director on 16 March 1975. He was appointed to the position of Director, Defense Investigative Service, effective 21 March 1976.

During his career, Mr. O'Donnell has completed investigative training administered by the FBI, AFOSI and Army CID, in addition to Air Force Command and Staff School, the Seminar Program of the Air War College, and the Industrial College of the Armed Forces. In January 1975, he completed the program in Executive Leadership and Management at the Federal Executive Institute. In May 1980, he completed the U. S. Secret Service Dignitary Protection Seminar.

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INSPECTOR GENERAL

The Inspector General (IG) serves as the confidential representative of the Director, DIS. The IG inquires into and reports on matters affecting the performance of mission, state of discipline, standardization and economy of operations, and performs additional duties as may be prescribed by the Director. The IG is responsible for the IG Complaint System and the DIS Inspections System as well as the DIS Staff Visit Program, and the program for inspection of DIS organizations by non-DIS personnel.

This group also provides a quality review of investigative matters at the Personnel Investigations Center, at the field elements, and of the reports of investigation that comprise the completed product -- the personnel security investigation.

The overall objective of IG inspections is to determine effectiveness and efficiency; to eliminate unnecessary tasks and functions; to eliminate internal organizational fragmentation and supervisory layering; to promote more efficient use of personnel, as well as to ascertain causative factors for deficiencies; and to make realistic recommendations substantiated by facts (noncompliance with policies and directives, low morale, poor working conditions, etc.).

CHIEF, OFFICE OF INFORMATION AND LEGAL AFFAIRS

Plans and coordinates implementation of the Freedom of Information Act and the Privacy Act of 1974, and administers the release of information in response to requests submitted under either Act. Plans, develops and implements policies, plans and procedures for the Defense Central Index of Investigations (DCII). Prepares, reviews, and releases summaries, extracts, and reports of investigative information for use by boards, courts, and other administrative proceedings. Is responsible for the accreditation of DOD components and other federal agencies for access to DIS files and the DCII. Is responsible for the release of investigative files in the National Capitol Region to accredited federal agencies which do not maintain liaison with the Personnel Investigations Center, and manages the agency's history and public information program.

Reviews agency policy, procedures, and directives for legality and propriety. Monitors legislation, both proposed and enacted, U.S. Supreme Court decisions, and other significant court decisions which may affect the operations and administration of the Defense Investigative Service. Interprets Public Laws, Executive Orders, and DOD Directives. Coordinates and monitors all items of Congressional interest and all responses to Congressional inquiries (except appropriation matters). Serves as liaison for legal matters with DOD General Counsel, General Counsel of the military departments, the Judge Advocates General, and U.S. Attorneys. Monitors and assists in the preparation of the defense of all suits brought against agency personnel which

result from the performance of official duties. Provides assistance and advice on legal questions which arise in the course of the conduct of criminal investigations. Provides the Director with advice on Freedom of Information and Privacy Act requests and appeals.

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DIRECTOR FOR INFORMATION SYSTEMS

Advises the DIS Director, the staff, and field activities concerning automated data processing (ADP), micrographics, data communications, word processing systems, and those manual systems that are affected by or interface with the technical areas mentioned. Manages the overall programs pertinent to these technical areas, to include establishment of objectives, risk management, and performance evaluation. Evaluates and approves ADP, micrographics, data communications, and word processing requirements. Provides policy and staff technical guidance, as well as management control, as required, over such systems. Works in close liaison with DOD, GSA, OMB, NBS, and other agencies on all matters affecting DIS policy regarding the technical areas mentioned. Conducts feasibility/procurement studies of new systems. Directs the evaluation of vendors' proposals and the subsequent selection process. Plans and initiates new automated data systems. Serves as senior ADP policy official. Reviews and evaluates all requests for ADP hardware, software, and ADP services. Is responsible for the acquisition of ADP software, equipment, and related services; deals directly with DOD, GSA, other government technical/procurement agencies and contract administrators to acquire ADP equipment/services or to modify contracts. Manages the DIS segment of the Defense ADP Re-utilization Program for replacement/disposition of ADP equipment. Is responsible for planning, budgeting, and reviewing the ADP and micromation programs for DIS. Exercises management control of and provides operational direction to the Information Systems Unit (VO900). Exercises technical control and operational cognizance of Investigative Files Division (IFD) microform activities.

DIRECTOR FOR INVESTIGATIONS

The Director for Investigations is the primary planning and policy making level within DIS for the establishment of policy and procedures for all DIS investigations and other related operations. Specifically, the Director for Investigations provides staff supervision and guidance for investigative matters within DIS; personally supervises and conducts highly sensitive investigations or protective service operations as required by the Director; represents the Director, DIS in conferences and meetings with members of OSD, congressional committees and their staffs, and other agencies, with authority to speak for and make commitments for the Director, with respect to DIS investigative matters and policy; assists DoD components in the establishment of programs which utilize DIS operational products; provides assistance to the schools of DoD investigative agencies by monitoring the curriculum and lectures on the procedures, techniques, and reporting of all DIS investigations and operations to assure their currency, objectivity, and effectiveness; formulates policy for operational training requirements of the assigned agents and conducts the necessary liaison to assure DIS enrollment in the appropriate federal investigative agency training schools; plans (operationally) and executes the training of new special agents at the DIS Basic PSI Course; assures the maximum possible security of DoD and its facilities through execution of all DIS investigations and operations; and analyzes statistical data covering investigations and operations conducted by DIS and provides reports to OSD relating to trends and forecasts. Material from these reports is used to determine manning and equipment needs, cost on investi-

gations and/or operations, and other items vital to the existence of the agency. In this regard, the Director for Investigations monitors the statistical data, workloads, personnel allocations and the intangibles impacting on DIS investigative operations, and coordinates with the Director for Personnel and Security and the Director for Management and Resources to insure that appropriate actions are taken to enhance operational effectiveness.

DIRECTOR FOR INDUSTRIAL SECURITY

The Director for Industrial Security serves as the highest technical authority and advisor to the Director, Defense Investigative Service in the administration of the Defense Industrial Security Programs: the Defense Industrial Security Program (DISP), the Arms, Ammunition and Explosives (AA&E) Program, and the DoD Industrial Facilities Protection Program (DIFPP). Jointly with the Director, plans, directs, and supervises the development of programs; education and training programs for civilian, military and contractor personnel engaged in industrial security activities; clearance of facilities and personnel for access to classified information; protection of international classified data and ADP security. Establishes goals and objectives for these programs and determines operating guidelines, approaches and modes of operation. Incumbent maintains continuous liaison with Office of the DUSD(PR) and Office of the General Counsel with respect to presenting policy proposals for discussion and approval and matters related to denials and revocations of personnel clearances. Represents the Director, DIS at high level policy meetings with pertinent OSD offices, other agencies serviced, all departments and agencies within DoD, investigative agencies, head of contractor firms, facilities and organizations, as well as representatives of international bodies and foreign governments. At such meetings, presents the Director's position in controversial areas and makes decisions for DIS and OSD, as appropriate. In consonance with the national policy of supporting U.S. industry in foreign marketing activities and in support of mutual weapons production under international defense cooperation, the incumbent maintains close liaison with defense representatives of North American and Mediterranean areas, major U.S. commands overseas, and international security programs. Director for Industrial Security monitors statistical data, workloads, personnel allocations and the intangibles impacting on DISP operations and coordinates with the Directors for Personnel and Security and Management and Resources to insure that appropriate actions are taken to enhance operational effectiveness.

Three DoD security programs involving facilities are administered by the Director for Industrial Security.

Defense Industrial Security Program: To assure the safeguarding of classified information entrusted to American industry by the U.S. and foreign governments, the Defense Industrial Security Program provides clearances for thousands of industrial facilities and over a million industrial personnel. Thousands of inspections are conducted annually to assist contractors to establish and maintain information security systems adequate for the protection of classified information. In addition to the entire defense establishment, this service is provided for 16 other federal departments and agencies as well as designated foreign governments. An Industrial Security Cognizant Security Office is located in each DIS region headquarters.

The Defense Industrial Security Clearance Office (DISCO), a DIS headquarters field extension office, determines the eligibility of contractor personnel for access to classified information belonging to the United States, to international treaty organizations and to foreign governments. This office, located in Columbus, Ohio, maintains nationally centralized eligibility records of industrial personnel plants and other facilities for access to classified information.

The Office of Industrial Security, International (OISI), a second DISHQ field extension of Industrial Security provides industrial security assistance to representatives of U.S. industry in connection with their marketing, liaison, technical assistance and contracting activities when conducted outside the U.S., its possessions and trust territories. Included in this assistance is maintaining personnel security clearance and security assurance records for cleared employees assigned overseas; processing visit requests to U.S., international pact organization and foreign government activities and to foreign industrial firms; providing secure

transmission channels and storage facilities for classified material; and conducting security briefings and orientations as may be required. The OSI is located in Brussels, Belgium.

The Defense Industrial Facilities Protection Program: This program, assigned for administration in 1973, was designed to develop and promote physical protection of industrial facilities within the United States which are important to defense production and mobilization of military operations (key facilities). Through periodic surveys, DIS provides security advice to management of the "key facilities" concerning overall physical security of their facilities and emergency preparedness measures that should be taken to prevent destructive acts, minimize damage or restore facilities and production in the event of damage. Each year thousands of physical security surveys of these designated "key facilities" are conducted.

Safeguarding of Arms, Ammunitions, and Explosives Program: Another DIS responsibility is inspection of over 300 DoD prime and subcontractors having possession or custody of conventional arms, ammunition, and explosives in connection with defense contracts. These inspections are designed to ensure these items are adequately safeguarded to preclude theft, misappropriation or loss.

The Defense Industrial Security Institute, a third DISHQ field extension office located in Richmond, VA, presents courses of instruction, both resident and extension, concerning the Industrial Security Program, the Industrial Facilities Protection Program and the DoD Information Security Management Program (classification management and safeguarding classified information). Eight separate courses of instruction are offered to U.S. government employees, representatives of industry, and selected foreign governments. A ninth course is offered only by invitation for representatives of selected foreign governments.

Methodology - The documents used by DIS to implement the DoD Industrial Security Programs are DoD 5220.22R (Defense Industrial Security Regulation (ISR)) as implemented by DLAM 8500.1 (Industrial Security Operating Manual (ISOM)); DoD 5160.54-R (Industrial Facilities Protection Regulation (IFPR)) implemented by DLAM 5160.1 (Industrial Facilities Protection Operating Manual (IFPOM)); and DODI 5100.84 (Physical Security of Sensitive Conventional Arms, Ammunition, and Explosives at Contractor Facilities).

DoD 5220.22-R (ISR) sets forth policies, practices, and procedures of the Industrial Security Program used internally by the DoD to insure maximum uniformity and effectiveness in its application throughout industry. This regulation also implements the security policies established by the DUSD (Policy Review) and establishes the procedures, requirements and practices concerned with the effective protection of classified information in the hands of industry, including foreign classified information which the U.S. government is obligated to protect in the interest of national security. DoD 5220.22-M, Industrial Security Manual (ISM), as a companion document to the ISR, contains detailed security requirements to be followed by U.S. contractors for safeguarding classified information. The ISM is made applicable to industry by execution of the DoD Security Agreement (DD Form 441) and by direct reference in the "Military Security Requirements" Clause in the contract. DLAM 8500.1 (ISOM) provides uniform guidance concerning the implementation of the ISR and ISM by Cognizant Security Offices in each DIS region.

DoD 5160.54-R (IFPR) implements the facility protection policies established by the ASD(C) and establishes the procedures, requirements, and practices concerned with (1) the comprehensive, valid identification and selection by the DoD components of those facilities which are of outstanding importance to defense production, defense mobilization, or military operations (i.e., "DoD Key Facilities") and

(2) the provision of advice and guidance concerning the application of physical security and emergency preparedness measures to participating DoD Key Facilities.

DODI 5100.84 prescribes standards for safeguarding certain categories of sensitive arms, ammunition, and explosives in the custody of or being manufactured by DoD contractors.

DIRECTOR FOR MANAGEMENT AND RESOURCES

Is responsible for various functions performed in the Budget, Accounting, Manpower and Logistics, and Administration Divisions. Coordinates and exercises staff supervision over the development, administration, review, and analysis of:

1. Financial plans, budget submissions, Program Objective Memorandums, and the Five-Year Defense Plan;

2. The distribution of funds, disbursement of checks and cash payments, and the cost accounting system;

3. Organizational structures, management engineering, manpower programming, and manpower utilization;

4. Supply and procurement systems, transportation and vehicle fleet management and control, facilities and space allocation, inter-service support agreements, and the occupational safety program;

5. Administrative procedures, publications, forms, orders, printing, correspondence, records, mail, graphic services, and general support;

6. Represents the Director in pertinent matters before OSD, OMB, and the Congress; and

7. Serves as principal advisor on the above matters to the Director, his staff, and field elements of the Agency.

The functional areas involving budget, manpower and logistics are discussed in more detail in sections 11, 12 and 15.

The Accounting and Administration Divisions perform a variety of functions in support of the investigative and inspection missions.

The Accounting Division provides centralized accounting, disbursing, and related support to the 265 operating locations. The DIS accounting system, supported by an Air Force B4700 computer located at Andrews AFB, MD, was approved by the Comptroller General of the United States in June 1975, only the second DoD accounting system to obtain such approval. The system encompasses all activities funded by and outlays chargeable to appropriations made available to the DIS. The system is designed to collect accounting data by using activity cost center concept in the accounting classification structure. Various audits have been conducted by "outside audit agencies" during the past several years without any adverse findings.

The Administration Division is comprised of three branches: 1) Publications, Forms and Orders; 2) Graphics; and 3) Correspondence, Records and Support.

The Publications, Forms and Orders Branch provides coordinated support to all DIS elements. DIS has an active Forms Management Program pursuant to the provisions of Public Law 90-620, revised. In 1979 a new forms and publications distribution system was established which reduced administrative support workload in the field by 50 percent. Transfer of the industrial security mission from the Defense Logistics Agency has added significantly to the support required from this Branch.

The Graphics Branch provides dedicated support to the headquarters and Special Investigations Unit and limited support to the field activities. During FY 1980 about 350 work orders were performed. About 60 percent of the support is for personnel security investigations. This branch is the focal point for audiovisual reports to OASD(PA) and Defense Audiovisual Agency(DAVA) and for the dissemination of guidance from them. Transfer of the industrial security mission from the Defense Logistics Agency included an audiovisual activity at the Defense Industrial Security Institute in Richmond, Virginia. During FY 1980 this activity

had an inventory of about \$27,000 and operated at a cost of about \$24,000.

The Correspondence, Records and Support Branch is responsible for the DIS records management program. Title 44-3102 of the United States Code requires each federal agency to have an active and continuing records management program. DIS was the first DoD agency to have a comprehensive records schedule approved by the National Archives Records Service (NARS). The DIS records management program entails control over the creation, maintenance and use of agency records and the separation of documents of temporary value from these of permanent value. Since beginning operations in 1972, records holdings have about doubled (from 3,375 to 7,500 cubic feet). In addition we have control of over 4,000 cubic feet of records stored at the Federal Records Center in Suitland, Maryland. Transfer of the industrial security mission is expected to add another 5,000 cubic feet to an active records holdings. This branch is also responsible for postal operations which are expected to increase by about 40 percent because of the industrial security mission transfer.

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DIRECTOR FOR PERSONNEL AND SECURITY

The Director for Personnel and Security is responsible for the development and implementation of plans, policies, and procedures for the management and administration of personnel and security programs involving civilian employees and military members assigned to the Defense Investigative Service (DIS). The responsibilities include the Equal Employment Opportunity (EEO) Program.

To discharge its numerous responsibilities, the directorate is organized geographically and functionally into three staff offices, three operating offices, and four divisions. The functions of these organizations are described below:

Staff Offices

Program Office: This office plans and develops all personnel and security programs consistent with DIS, Department of Defense (DOD), and Office of Personnel Management (OPM) requirements and goals regarding recruitment and placement, pay and position management, employee-management relations, employee development, performance, and personnel administration. Higher echelon policies, goals, regulations, and statutes in the above-listed areas are interpreted and supplemented when necessary. This office also provides primary staff advice and assistance to the Director for Personnel and Security and conducts reviews

and analyses of personnel and security operations to assess overall program effectiveness.

EEO Office: The EEO Officer advises the Director for Personnel and Security, who is also the Director of Equal Employment Opportunity, on program progress and recommends actions to assure that all personnel actions are free from discrimination and reflect affirmative action. The EEO Officer also establishes and maintains an effective discrimination complaint processing system. The EEO Officer is assisted by EEO investigators, the Federal Women's Program Manager and the Hispanic Employment Program Manager and by EEO Counselors assigned nation-wide throughout the organization.

Systems Requirements Office: This office analyses all personnel and security operations with a view toward enhancing directorate effectiveness and responsiveness through automation. This office also reviews changes to personnel and security programs before they are implemented so that existing or projected ADP capabilities are considered. An additional responsibility of this organization is its function as liaison point between directorate and ADP personnel and the role of staff advisor to the Director for Personnel and Security and members of the staff concerning ADP-related matters.

Operating Offices:

Administration and Services Office: This office processes personnel actions, maintains central personnel records and files, and maintains the suspense files for periodic actions and recurring reports. The staff provides information and determines entitlement in individual cases with respect to employee benefit programs including, but not limited to: leave, health benefits, life insurance, retirement, and unemployment compensation.

Holabird Personnel Operations Office: As the on-site personnel operating office in Baltimore, Maryland, this office provides personnel support to the 450 (approximate) employees assigned to the Personnel Investigations Center, Information Systems Unit, and two small, non-DIS activities with whom we have a servicing agreement.

DISCO Personnel Operations Office: This office provides on-site personnel support to the 180 (approximate) employees of the Defense Industrial Security Clearance Office, Columbus, Ohio.

Operating Divisions:

Classification, Employee Relations, and Training Division: The members of this division process position actions (establish, change, and cancel) and work with supervisors and managers to ensure that position descriptions accurate-

ly reflect the duties being performed. This office determines and assigns a title, classification series, and grade to all civilian positions and provides agency expertise in pay matters. The division is also responsible for advising managers, supervisors, and employees toward the resolution of job-related and personal problems. The employee relations function also encompasses the following program areas: labor relations, leave and absence, hours of duty, conduct and discipline, appeals, grievances, performance appraisals, suggestions, and incentive awards. Training and employee development are also the responsibility of this division. In July 1980, the DIS conducted its first basic agent training course; previously this training had been presented by the Air Force Office of Special Investigations.

Examining and Recruitment Division: This division is responsible for the recruitment and placement activities of the DIS. It administers the merit promotion program and members of the division serve as advisors to employees, supervisors, and managers in the area of recruitment and placement. Since July 1980, this division has been issuing certificates of eligibles to fill Investigator, GS-1810-09, positions DIS-wide as the result of a delegation of this authority from the Office of Personnel Management. Plans are underway to expand this authority to include Investigators, at the GS-5 and 7 levels and Personnel Security Specialist, GS-080-05, 07, and 09's. Although this represents a significant increase in the workload of the division, the accelerated responsiveness to management it provides more than justifies the additional effort.

Military Personnel Division: This division administers all personnel programs involving members of the Army and Air Force who are assigned to DIS. These programs include assignment and reassignment of personnel, promotions, and awards. Military authorizations are being gradually converted to civilian positions. Total civilianization will occur in FY83.

Security Division: This division develops policies and procedures for the execution of DIS personnel security, document security, and physical security programs. It provides staff assistance to DIS Headquarters and subordinate activities in the implementation of these security programs. The Security Division controls and issues badges and credentials to special agents and credentials to industrial security representatives.

In the area of personnel management and administration, a symbiotic relationship exists between the Directorate for Personnel and Security and the administrative officers in the ten regions. Although this latter group oversees all administrative and logistic functions of that region, their involvement in personnel matters is significant. This relationship is most prevalent in recruitment activities but is present to varying degrees in all personnel activities.

INVESTIGATIVE POLICY AND PROGRAMS

The Defense Investigative Service (DIS) is a federal law enforcement and personnel security investigative agency. In addition, DIS conducts "such other investigations as the General Counsel may direct." These missions or programs have evolved separately and will be discussed here and in subsequent paragraphs as separate programs although the same policies, at times, apply to both, and the personnel managing programs are generally the same.

Personnel Security Investigation (PSI) Program: A PSI is an investigation to determine a person's eligibility for access to classified information, assignment or retention in sensitive duties. Personnel security investigations include investigations of subversive affiliations, suitability information, or hostage situations conducted for the purpose of making personnel security determinations. They also include investigations of allegations that arise subsequent to adjudicative action and require resolution to determine an individual's current eligibility for access to classified information, or assignment to or retention in a sensitive position. The personnel security investigation is designed to develop information pertaining to an individual's loyalty, character, emotional stability, trustworthiness, and reliability by inquiring into the activities of that individual. The nature and scope of inquiry is determined by governmental directives, Executive Orders and Department of Defense issuances. Authorities utilize the information developed by a PSI

as a basis for determining whether military, civilian and contractor personnel may be granted access to classified information; or whether entry to restricted areas, access to nuclear weapons, security eligibility or acceptability for assignments to, or retention in, sensitive civilian positions and acceptance, or retention, as a member of the armed forces is clearly consistent with the interests of national security.

A history of the federal PSI program is traced in the Project 10 reports of the Domestic Council Committee on the Right of Privacy. PSI's were originally instituted to enforce the Civil Service Act of 1883 and were used between World War I and 1939, to determine the reliability of federal employees, such as postmasters and law enforcement officers. During World War II, military personnel could be summarily removed on security grounds. The Federal Loyalty Program was established by E.O. 9835 in 1946 which authorized removal for disloyalty. Public Law 81-733, in 1950, authorized suspension or removal on security grounds by the Defense and Justice Departments and other agencies and departments designated by the President. In 1953, E.O. 10450 (described subsequently) was issued to replace E.O. 9835 and extended the security provisions of PL 81-733 to all agencies. E.O. 10450 remains the basic authority for PSI's.

Within the DOD, E. O. 10450 governs the conduct of PSI's on federal civilian employees. E. O. 10865 governs the investigations of industrial personnel who require access to classified information. Industrial and federal civilian employees account for less than one-half of the PSI's conducted by DIS. The majority of DIS PSI's are conducted on military personnel who are investigated under directives issued by the Secretary of Defense.

The three categories of personnel investigated by DIS (civilian, military and industrial) may be investigated for various reasons depending on the program in which they are involved. The basic PSI program, involving access to classified information, is detailed in DOD Directive 5200.2R, Personnel Security Program. Other reasons for PSIs are presidential support activities, access to nuclear weapons, and access to sensitive compartmented information. Each of these is governed by a directive, and DIS conducts the investigation necessary to fulfill the requirements of those directives. It is noted that DIS may only conduct PSI's on DOD affiliated personnel in accordance with guidance contained in DOD Directive 5200.27.

DIS conducts five types of PSI's on the three categories of personnel who fall within the purview of the DOD security program. The individual's required level of clearance, position and/or access dictates the type of investigation which is conducted. Those investigations are:

a. National Agency Check (NAC) - The NAC consists of the search of the investigative indices/files of US governmental agencies/activities at the national level. The agencies which are checked are governed by the individual's personal history and activities.

b. Background Investigation (BI) - The BI is an inquiry into the activities of an individual consisting of a NAC, other records reviews, and interviews of knowledgeable associates.

c. Special Background Investigation (SBI) - The SBI is an inquiry into the activities of an individual (who has been nominated for participation in a special program) which is designed to meet the investigative requirements of the Director of Central Intelligence Directive (DCID) 1/14, approved 13 May 1976, DOD Instruction 5220.28, DOD Directive 5210.55 or similar DOD issuances. The SBI consists of all of the elements of a BI and additional investigative inquiries as directed by the respective instruction/directive (e.g., neighborhood inquiries and substantial increase of the time frame to be investigated).

d. Periodic Reinvestigation (PR) - The PR is designed to update a previously conducted BI or SBI based upon specific DOD directives relating to certain specified programs and/or activities, and pertains to individuals who have continuously held such positions since their previous investigations.

e. Special Investigative Inquiry - A Special Investigative Inquiry is a personnel security investigation conducted for one of the following purposes:

(1) To supplement a BI, SBI, or PR that has been closed out to the requester but subsequently found to be incomplete.

(2) To prove or disprove allegations relating to the criteria set forth in DOD Regulation 5200.2-R, except current criminal activities, that have arisen concerning a person upon whom a personnel security determination has been previously made and who, at the time of the allegation, holds a security clearance or otherwise occupies a position that requires a trustworthiness

determination. This includes investigations referred to in previous years as "complaint" investigations, now also referred to as "post-adjudicative investigations." (Special Investigative Inquiries are scopes as necessary to address the specific matters requiring resolution in the case concerned and generally consist of record checks and/or interviews with potentially knowledgeable persons, including the subject of the investigation.)

Methodology (DISM 20-1) - The document used by DIS to implement the DOD personnel security program is DIS Manual 20-1. DISM 20-1 outlines the basic policies, procedures, definitions, methods, techniques and reporting formats for PSI's. It is used by all DIS investigators to direct them in the conduct of PSI's and the proper means of reporting those investigations. It defines minimum standards necessary to satisfy investigative requirements of applicable instructions and directives. DISM 20-1 is amended routinely to accommodate changing guidelines and directives of DOD and the executive and legislative branches.

Attempts to streamline the PSI program and to make it more responsive have been many-faceted. Administrative standardization for requesters of PSI's was directed by Deputy Assistant Secretary of Defense (Administration), on 10 September and 31 December 1974. At the same time, those memoranda instructed all requesters to limit their requests to those that were clearly essential. DASD (Admin) Memorandum, 15 July 1974, eliminated the requirement for most Periodic Reinvestigations (PRs) and curtailed the scope of PRs which were not otherwise eliminated. Deputy Secretary of Defense Ellsworth's Memorandum, dated 3 May 1976, significantly reduced the scope of background investigations; permitted the use of telephone and letters to obtain information

under certain limited conditions; established uniform coverage for all Special Background Investigations (SBI); established guidelines for preliminary interviews of applicant/nominees to sensitive compartmented information prior to initiation of the SBI; and placed limitations on requests for investigations and retrieval of prior investigative files.

In order to more efficiently utilize investigative resources, DoD has, on three separate occasions, restated the single agency concept for domestic personnel security investigations. In the last statement (DASD (Admin) Memorandum, dated 25 November 1977), DoD set forth clarifying guidance to the effect that DIS will investigate "subversive affiliations, suitability information and hostage situations whenever such investigation is required for personnel security purposes," and providing there is an absence of a criminal or counterintelligence allegation under another agency's jurisdiction.

The Director of Central Intelligence Directive (DCID) 1/14, effective 13 May 1976, changed the minimum investigative requirements for all individuals who require access to Sensitive Compartmented Information.

Privacy Restrictions - In recent years the gathering, use and storage of personal information by the federal government has been restricted by various federal and state laws and regulations. These restrictions have affected the ability of DIS to gain ready access to information considered essential to personnel security adjudications. Education, medical and employment record information are all affected by these restrictions, and access to criminal history record information has been curtailed and even prohibited in some instances (e.g., the State of Massachusetts does not permit DIS to have access to police records.)

The Privacy Act, further described below, has had the greatest impact on DIS. Part of its impact is caused by those (in and out of government) who do not understand the Act and withhold information in the belief it is required. While most other enactments and restrictions of institutions do not totally deny DIS the information, they often impose restrictions on its use and require signed releases from the subject, both of which may detract from the timely completion and substance of the investigative product.

The amended Freedom of Information Act which became effective in February 1975 required DIS to make various types of records available, placing its operations and activities in the public domain. This Act initially had a substantial impact on DIS, but has played a relatively minor role since September 1975 when the Privacy Act of 1974 went into effect. The Privacy Act, which provides for release of personal information to the subjects of personnel security investigations, now accounts for the vast majority of requests for release of DIS records.

While the Privacy Act had little impact on the security afforded our investigative records due to the procedures already in effect, it did have a great impact on the conduct of PSI's. In implementing the provisions of the Privacy Act, DIS informs all interviewees and records custodians that all information they provide during an interview or records check, including their identity, may be released to the subject of an investigation upon the individual's request. The Act allows DIS to withhold from release to the subject the identity and any information that would tend to identify

a "confidential source." Unfortunately, the requirements of the Act have resulted in an increased number of sources who express the desire to remain confidential which reduces the value of such information for adjudicators.

When interviewing a subject, DIS special agents are required to advise the subject of the following four points:

- (1) The authority by which DIS is collecting the information;
- (2) The main purpose for which the information is gathered;
- (3) The routine uses that DIS will make of the information; and
- (4) The voluntary nature of disclosing such information to DIS.

Another impact the Privacy Act has had on DIS is the increase in personnel resources required to process approximately 200 requests per month from individuals who wish to review their investigative files.

Criminal Investigative Program. The Charter of Defense Investigative Service, DOD Directive 5105.42, dated 18 April 1972, tasked this organization with functions in addition to the PSI mission. These responsibilities were to conduct "such other special investigations as the Secretary of Defense may direct" and to "render appropriate assistance to investigative, law enforcement, intelligence, counterintelligence and other US and foreign government activities."

Secretary of Defense Laird, in a letter dated 29 December 1971, stated:

"In the near future, I intend to appoint a Study Group with a view toward determining whether the DIS functions should be expanded to include counterintelligence and criminal investigation." (Attachment 7).

Accordingly, much of the original planning as to organization was done with the expectation that additional missions could be forthcoming. Steps taken in furtherance of this position included the following: All new civilian agents during DIS formative years were trained in a basic criminal investigative course taught by AFOSI; field structure of 20 districts with a headquarters staff including experienced operations officers in each district gave DIS the capacity to respond to criminal investigative requirements throughout CONUS; Special Investigations Center in Washington, DC, was staffed to monitor not only PSIs but also any criminal investigations with a professional cadre of criminal investigators; and all special agent personnel were trained and qualified with handguns. It should also be noted that most of the investigators transferred to DIS had prior extensive criminal and/or counterintelligence investigative training and experience.

The issue of an expanded mission for DIS remained unsettled in the ensuing years because the Study Group envisioned by Secretary Laird was never convened. The November 26, 1974 Audit Report of the Directorate for MA and Overseas Audits (OASD Comptroller) recommended "that the study proposed by the SECDEF be conducted to determine whether the DIS functions should be expanded to include counterintelligence and criminal investigations." The House Appropriations Committee Surveys and Investigations

Staff Report of December 16, 1974, expressed concern that the aforementioned study had not been undertaken and was not high on any then current list of priorities within OSD. It went on to observe that some OSD officials favored expansion of the DIS mission while others opposed such expansion.

In May 1974, a memorandum from Deputy Secretary of Defense Clements concerning investigative support to DLA on matters of property disposal, bulk petroleum and subsistence activities required that the DIS and the military investigative agencies provide, as required, criminal investigations and survey support to designated elements of DLA. It was not until December 1975, however, that the expectations of additional missions for DIS were clarified in a memorandum by Secretary of Defense Clements which stated that the DIS mission would remain primarily PSIs. Nevertheless, DOD has continued to call for DIS to provide investigative support to DLA and to other DOD agencies.

Through the years from 1972, DIS has been requested to conduct special investigations by the Secretary of Defense. One such case in 1975 consisted of DIS operating a nationwide task force to investigate irregularities in DOD meat procurement which resulted in numerous convictions and fines involving military personnel and civilian contractors. These cases and the other DLA support amounted to less than one percent of the total DIS workload and less than five percent of total staff years.

In December 1977, DIS was placed under the control of the DOD General Counsel. Previously the DIS was under the staff supervision of the Assistant Secretary of Defense (Comptroller). Certain DOD directives (including DOD Directive 5105.42) had to be revised to accommodate that change.

The new DOD Directive 5105.42, dated 19 July 1978, redefined the DIS mission with respect to criminal investigations. It described DIS as "a federal law enforcement and personnel security investigative agency." Further, DIS was directed to "conduct within the fifty states, District of Columbia, and Commonwealth of Puerto Rico, when authorized by the General Counsel, law enforcement investigations of activities involving DOD components or DOD contractors and conduct other such investigations as the General Counsel may direct."

Since the withdrawal of the Federal Bureau of Investigation from routine apprehension of deserters, DOD has published a revised DOD Directive 1325-2, "Desertion and Unauthorized Absenteeism," which calls upon DIS to only assist the military services in their liaison with local law enforcement agencies so as to encourage active participation in such agencies. DIS is also called upon to participate in an annual evaluation of the program and to recommend appropriate changes.

As set forth in Section 12, the DIS special agent force will eventually be civilianized. In the interim, in July 1979, DIS has removed its military investigative personnel from all involvement in criminal investigations due to the potential for violating the Posse Comitatus Act (in that military personnel are prohibited from enforcing civilian law). Secondly, the US Attorney General revised the categories of federal law enforcement officers who are authorized to request search warrants by adding DOD civilian agents who are not subject to military direction.

Currently, a new DIS Manual 20-2 which will promulgate policy on criminal investigation activities, has been prepared in draft and is being staffed for publication.

PERSONNEL INVESTIGATIONS CENTER

Functions of the Personnel Investigations Center (PIC) include the initiation, management, review and dissemination of all Personnel Security Investigations (PSIs), including the management of the Defense Investigative Service Files Repository. As previously stated, the PIC is located in Baltimore, MD, and has an authorized strength of 364 personnel. A recent reorganization, completed at the end of fiscal year 1979, divided the PIC into four separate divisions and an Operations Management Office to monitor overall activities. The division functions are as follows:

The Investigations Division has four branches. Each branch has modular units (teams consisting of Team Chief, 7 controllers and 4 administrative personnel) which individually are responsible for all phases of controlling the PSIs. Specifically, they receive requests for investigation from the approximately 2700 authorized DoD requesters. They review the request package for sufficiency, retrieve prior files, if indicated, identify the field activities to conduct respective leads and dispatch leads (via DIS action/lead sheets) via the United States Postal Service. The teams provide input to the automated data system which provides the ADP products necessary for the management, control and accountability of investigations. The teams are responsible for receipt and review of completed investigative reports which are forwarded directly from field units. The completed work is reviewed for investigative sufficiency, the requirement for additional leads and referral to other agencies. Upon final receipt of all reports, the teams disseminate completed investigations directly to requesters.

The Investigative Files Division operates the DIS Investigative Records Center which receives and maintains all investigative files created by or for DIS. This division also reproduces and dispatches investigative information/files to authorized requesters worldwide as appropriate.

The National Agency Check (NAC) Division receives requests for NACs from authorized requesters, or from the PIC Investigations Division when a BI in progress also requires a NAC. The NAC Division reviews the requests for sufficiency, retrieves prior files, if any, dispatches requests for record checks to the appropriate National Agencies (e.g., FBI, CIA, INS), reviews the final product for sufficiency and provides it to the requester by mail (or electronically when the requester is Army or the Defense Industrial Security Clearance Office).

The Support Services Division supervises and develops policies and procedures governing PIC logistic, administrative and security matters.

PIC uses the Defense Case Control System (DCCS) (further explained in Section 14) to manage work flow. Based upon a valid request for investigation, PIC begins its function by bringing individual requests under control by assigning a control number to each request and entering this number into the supporting automated system's data bank. DIS accountability begins at this point. This action triggers an automatic demand upon the DCII (an index reference to investigations DoD wide, regardless of type (PSI, CI, criminal, special)). This automatic query determines whether or not prior investigative files exist elsewhere, either in DIS or the three services. If there are such files, a request is made to the appropriate repository.

The request for investigation and prior file, if any, is screened to determine the investigative requirements and identification of the field unit or units which are to conduct the leads. The leads are then sent directly to the appropriate DIS field office or resident agency via a DIS action lead sheet which includes the subject's Statement of Personal History (SPH)/Personnel Security Questionnaire (PSQ) and any necessary prior file data. The field elements receive guidance and control on cases directly

from PIC. The field generated reports of investigation are reviewed for investigative sufficiency. If the investigation lacks sufficient coverage, additional leads are generated. In the same vein, if the field develops new leads, they are laterally sent by that office to the appropriate unit. Every lead on the case, regardless of origin, is entered in the DCCS for case management/lead accountability. Similarly, once the case is completed, it is closed in the DCCS and accountability in the DCII is charged to the Investigative Files Division. The original is then retained for file and the requester notified of the results either by annotation on the DD Form 1879 or by a copy of the complete investigation.

The PIC uses the NAC Case Control System (NCCS) for all NACs. The NCCS is similar to the DCCS in that it maintains accountability of all NACs opened in the system, identifies the various agencies which must be contacted, and records the results of each agency checked.

The timely completion of quality investigations at reasonable costs is a continuing objective. The centralization of investigative control introduced a number of advantages, which could not be achieved under the former system, which delegated control to the services. DIS, through coordination with the Deputy Assistant Secretary of Defense (DASD) (Security Policy), was able to implement uniform standards of investigative criteria, scoping and reporting format which simplified adjudication procedures by the services and DoD agencies. Succinctly stated, the ultimate advantage of centralized control lies in the ability to respond more quickly with greater flexibility and singleness of purpose. Equally important is the fact that the entire DoD personnel security program can now be surveyed from the vantage point of a central control office and weaknesses or discrepancies not previously apparent under fragmented control can be detected and remedied. Such a system allows

the development of a valid statistical base for appraising implementation
of the DoD personnel security program.

THE DEFENSE INDUSTRIAL SECURITY CLEARANCE OFFICE

The Defense Industrial Security Clearance Office (DISCO) became operational on 1 March 1965 for the purpose of determining on a nationally centralized basis the eligibility of industrial personnel for access to U.S. and foreign classified information. Although DISCO is the principal granter of clearances, complex cases involving issues are referred to OSD for final decision. The DISCO, a field extension of the Director for Industrial Security, DIS, is physically located as a tenant activity at the DLA Defense Construction Supply Center, Columbus, Ohio. At the time of its establishment, DISCO inherited the assets and personnel security clearance workload of approximately 115 Army, Navy, and Air Force offices. It also absorbed from the Army the Central Index File containing the industrial security clearance records of approximately 16,000 contractor facilities and 1.5 million individuals working in those facilities. The Central Index File became the nucleus of the filing system which is now computerized at DISCO. Currently DISCO is authorized 191 personnel to accomplish assigned missions.

The organizational structure of DISCO is comprised of the Office of the Chief, three divisions and an Operations and Analysis Office. The Personnel Clearance Division is the largest division within DISCO and handles almost 90 percent of the clearance workload. This division establishes the in-process personnel security record and initiates investigative requests, performs all functions relating to the facility address file and updates and maintains the personnel security clearance file, grants and/or transfers personnel security clearances and assurances for industrial and certain other personnel when no (or only minor) adverse information exists, and processes visit requests for U.S. contractor personnel for international assignments and for foreign nationals visiting U.S. facilities.

The Adjudication Division determines the eligibility of personnel for an industrial security clearance when other than minor adverse information exists and refers cases, as necessary, to a higher level recommending denial, suspension or revocation. Additionally, this division acts on clearance requests involving immigrant aliens and "special access" programs and determines psychiatric referrals in all DoD industrial personnel security cases.

The Clearance Support Division as the name implies provides common centralized administrative and mission support services such as maintaining a central file repository, controlling ADP product outputs, etc.

DEFENSE INDUSTRIAL SECURITY CLEARANCE OFFICE
PERSONNEL CLEARANCES SUMMARY

FISCAL YEAR	GRANTED	TERMINATED
1977	134,575	116,644
1978	140,530	119,697
1979	146,963	96,530
1980	156,383	113,990
ACTIVE CLEARANCES ON FILE AT DISCO: (30 Sep 80) 854,165		
TOP SECRET	75,419	
SECRET	773,104	
CONFIDENTIAL	5,262	
LTRS OF ASSURANCE -	380	
COMPANY GRANTED CONFIDENTIAL CLEARANCES - 327,503		
TOTAL INDUSTRY PERSONNEL CLEARED		- 1,181,668

DEFENSE INDUSTRIAL SECURITY INSTITUTE

The Defense Industrial Security Institute is a jointly staffed activity established by the Secretary of Defense and administered by the Defense Investigative Service (DIS) as an activity of the Directorate for Industrial Security.

The Institute presents courses of instruction, both resident and field extension, relating to the Defense Industrial Security Program, the Defense Industrial Facilities Protection Program, and the Defense Information Security Program.

Institute courses are scheduled for U.S. government personnel plus employees and representatives of U.S. industry. An orientation conference has also been established for representatives of selected foreign governments.

Industrial security training was first conducted in 1955 by the U.S. Army as DoD Executive agent at Ft. Holabird, Maryland.

Responsibility for industrial security training was transferred to the Defense Supply Agency (DSA) in 1965; however, the Army continued to conduct the training for DSA at Ft. Holabird.

In January 1972, the Defense Industrial Security Institute opened in Richmond, Virginia as a field activity of DSA to conduct industrial security training for the DoD.

Responsibility for the information security training mission was assigned to the Institute in April 1973; the industrial facilities protection training mission was assigned in June 1973.

The Institute offers nine courses. A brief description of these courses appears at Attachment 8.

Since 1972, more than 17,000 students have graduated from courses offered by the Institute.

During FY 80, a total of 3,173 students attended Institute courses.

1,666 (53%) were from DoD

99 (3%) were from other government agencies

1,408 (44%) were from private industry

Field extensions accounted for 2,340 or almost three-fourths (74%) of all Institute graduates during FY 80.

The most popular Institute course in FY 80 was the Information Security Management Course which was attended by 1,523 personnel, representing 48% of all graduates.

In March 1979, the Institute was assigned responsibility for developing security education materials and presenting counterintelligence awareness briefings for industrial contractor personnel. These efforts will:

provide contractor personnel in private industry with a centralized source for security training materials;

alert key personnel in private industry as to nature and scope of the threat posed by visitors/agents from Communist Bloc nations;

benefit more than 1,000,000 persons in private industry who are cleared to work with classified information;

The faculty is comprised of three military and seven civilian instructors. Six other personnel are assigned in a support capacity. Three personnel are assigned to the Security Education Division.

On 1 October 1980, the Defense Industrial Security Institute, along with the total industrial security function, was transferred from the Defense Logistics Agency to the Defense Investigative Service (DIS). The Institute serves as host for training courses, symposiums, and conferences sponsored by the DIS.

SPECIAL INVESTIGATIONS UNIT

The Special Investigations Unit headed by a director, is a field activity located at DISHQ with an authorized strength of 14 agents and three administrative personnel. Its primary function includes the supervision, control and conduct of law enforcement investigations requested by the Defense Logistics Agency (DLA), other DOD agencies and as directed by the General Counsel. Investigations range from security compromise cases, crimes against persons and property cases to fraud cases. Other functions include: providing support to other law enforcement agencies which have primary jurisdiction in investigations involving DOD personnel; conducting fraud prevention surveys for the Defense Logistics Agency with special emphasis on detection of crime conducive conditions in the agency's management, procurement, security and automated data processing systems and recommendations for corrective action; providing investigative expertise on unique high level OSD projects and participating in governmental conferences on law enforcement issues, particularly white collar crime; acting as DIS coordinator and contact point with appropriate officials at OSD, DOJ, FBI, DLA, DCAA, DAS, and Congressional staffs relative to DOD criminal investigations and other sensitive matters.

Authority for the SIU's mission was created by the Deputy Assistant Secretary of Defense (Administration) memorandum of May 7, 1974, which apportioned criminal investigative support to DLA among the military service investigative agencies and DIS. In FY 80, this support to DLA alone translated to a workload consisting of 220 criminal investigations and 15 fraud prevention surveys.

The SIU's investigative role in fraud investigations is further covered in Section 10.

DEFENSE INVESTIGATIVE SERVICE'S INITIATIVES
IN COMBATTING FRAUD, WASTE AND ABUSE
IN DOD AGENCIES

Background. The Defense Investigative Service (DIS) has been successfully involved in combatting fraud within the Defense agencies and investigating fraud matters that involve more than one military department or a single military department when directed by the DOD General Counsel.

The Special Investigations Unit (SIU) of DIS is the focal point covering this program. It provides the supervision, control and coordination of all criminal investigations. This unit makes the initial contact directly with the Criminal Division, Department of Justice (DOJ), and/or the United States Attorneys concerning major fraud investigations. This direct relationship has developed over several years and has resulted in significant fraud prosecutions of major DOD contractors. This relationship began in 1975 in response to the Secretary of Defense's concerns about alleged wide-spread fraud in the subsistence procurement program. DIS, under the guidance of the DOJ, directed an investigative task force or "team approach" consisting of contract specialists, auditors and investigators from the military departments. This innovative approach of a team concept has been very successful in obtaining substantial prosecutions. In fact, DIS has approximately 40 major criminal investigations it is conducting under the direct guidance of DOJ or a local US Attorney. A substantial amount of these cases involve significant allegations of contract fraud. In instances of these types of cases, DIS employs the "team concept."

Even though DIS's investigative role is small, it has purposefully concentrated limited investigative resources on significant incidences of contract and procurement fraud in major DOD programs. These efforts also parallel the recent DOJ's report on "National Priorities for the Investigation and Prosecution of White Collar Crime."

DIS's primary efforts in combatting fraud is directed first towards criminal prosecution, second, civil actions, and third, administration action such as price adjustments and warrant actions. A corollary objective of DIS fraud investigations is to identify and spot those management practices and system weaknesses through fraud prevention surveys which can be regarded as crime conducive or exploitable.

Coordinating with Defense Agencies. The DIS, Defense Audit Service (DAS), Defense Contract Audit Agency (DCAA) and the Defense Logistics Agency (DLA) periodically meet to discuss mutual matters and in particular to review the progress of fraud cases referred from these particular agencies. Representatives from DOJ also attend to discuss what actions are necessary to successfully conclude these investigations.

DIS also conducts surveys in conjunction with the DAS in such areas as OCHAMPUS, Medical Program, survivor benefit entitlements, retired military pay and dependent entitlement to military hospital services. When DAS discovers irregularities in such programs, it will request DIS to make a more thorough investigation to determine if any fraud is involved. If suspected fraud surfaces, an investigation is opened. Recently a 22 count criminal indictment was

rendered against a medical counselling facility for making false statements, mail fraud, aiding and abetting and conspiracy to defraud. Also, DIS has numerous such fraud cases pending involving these programs.

Interface with Other Federal Law Enforcement Agencies. The DIS has always maintained a close association with other federal law enforcement agencies. This association has further been accentuated with the advent of the Inspector General's Act of 1978. Currently, DIS is working jointly with several executive department IGs pertaining to fraud matters. In addition, there are many areas in which certain agencies have exclusive or concurrent jurisdiction, particularly involving the Federal Bureau of Investigation (FBI). In the past, such cases were referred automatically to the FBI, however, with the Attorney General's pronouncements that the FBI cannot do the job alone, and in particular, that DOD has available investigative and auditing resources, there is a concerted effort among the affected agencies to investigate these fraud matters on their own or jointly with each other. Presently, DIS is working with several federal agencies on multi-million dollar fraud cases involving DOD programs.

Investigative Team Concept. Depending on the nature of the investigation, the SIU will form a team consisting of several agents, auditors, specialists, or an attorney from the procurement activity. The team members will meet periodically to discuss the progress of the investigation and make preparation for referral to the Fraud Section of DOJ or the appropriate US Attorney. Upon acceptance for prosecution, the team members will work exclusively on these investigations for periods of time which may exceed several years.

Currently, DIS has several such joint fraud investigations involving multi-million dollar contracts. As a result of this innovative approach, DIS successfully completed an investigation wherein a major US company was fined over \$700,000 which was the highest adjudged criminal fine ever in the District of Massachusetts. Further, the company is to repay approximately two million dollars of questionable costs to the government. These investigative results are unprecedented for a Department of Defense (DOD) investigative element and conclude over two years of joint investigative efforts by DIS and the DOJ.

Fraud Prevention Surveys. One of the major initiatives employed by DIS to combat fraud and waste is the use of fraud prevention surveys. The DLA headquarters selects certain areas of internal operations or control systems that they feel may be susceptible to any form of criminal activity or weaknesses. A survey team usually consisting of three or more DIS agents, a specialist and an auditor on occasion will interview key operational personnel, review inspections, investigative and audit reports. This examination will also include the actual testing of the internal controls. DIS in conducting these surveys emphasizes the "audit trail" approach to test a system's internal control. DIS recently completed surveys of sophisticated computer operations and has surveys scheduled this FY. Surveys generally take two to three weeks to complete. Final survey reports denote specific deficiencies, observations and recommendations to correct them.

Fraud Awareness Training. DIS does not have its own training program in law enforcement investigations. DIS relies on educational programs offered by

other federal law enforcement agencies. Its agents receive advance fraud training at the White Collar Crime Seminar, FLETC, Glynco, Georgia. Due to the expertise DIS has developed in conducting complex procurement fraud investigations, DIS provides instructors for the White Collar Crime Seminar. Specialized training is received through several DOD educational programs and DLA.

The SIU recently hosted two seminars presented by the DOJ's Civil Division and its Public Integrity Section. Representatives from several DOD agencies were in attendance.

DOD Hotline. On 2 April 1979, the DIS established the DOD Hotline System, under the direction of the Office of General Counsel, Office of the Secretary of Defense (OSD). The service acts as the point of contact (POC) for DOD related allegations/complaints of fraud, waste or abuse. As the POC, the DIS is responsible for processing and forwarding information received through DOD Hotline channels to the applicable DOD components for investigation and other action as deemed appropriate.

DIS operates the hotline at its Washington, DC headquarters. DIS also operates as the POC between the General Accounting Office (GAO) and DOD for all DOD related calls received by the GAO Hotline Task Force on fraud, waste and abuse. DIS exercises no evaluation or analysis role in the GAO hotline process.

The DOD element to whom the hotline item was referred is the final authority over what administrative action is directed in cases involving substantive allegations of wrongdoing that are declined by the US Attorney's Office for prosecution in favor of administrative action.

Since the inception of the program through 30 September 1980, DIS has received 631 calls via the DOD Hotline and referred 364 to DOD components. The total number of referrals received from GAO since the beginning of the program is 834. Several ongoing cases, which involve government contracts, may result in substantial savings or recoupment of public funds, when they are completed. However, these investigations are necessarily long termed and detailed in nature.

The DOD Hotline telephone numbers are: Toll Free (800) 424-9098; National Capital area 693-5080. Hours of operation are 0800-1630 (EST).

BUDGET

The operations of this agency are funded by three direct appropriations-- Operation and Maintenance, Defense Agencies (O&M, DA), Procurement, Defense Agencies (P, DA) and Military Construction, Defense Agencies (MC, DA). The O&M, DA appropriation pays our civilian work force (about 83% of the budget), the rents, communications (telephones and mail), buys the supplies needed for daily operations, the repair and maintenance of our equipment, and, assundry costs. The P, DA appropriation finances the procurement of equipment costing more than \$1,000 per item. Our major procurements consist primarily of motor vehicles to replace those being disposed of because of age or excess mileage, thus, the size of this appropriation fluctuates with the size and relative condition of our vehicle fleet. No MC, DA funds are included in the FY 1981 - FY 1985 Program Objective Memorandum. A one-time requirement to improve the heating in our building in Baltimore, Maryland was in the FY 1980 budget. This satisfies our construction requirements for the foreseeable future.

Assigned military personnel receive their basic pay and allowances from their parent services. The above appropriations, however, do finance their support costs (supplies, travel, per diem, etc) while they are working for this agency.

Our FY 1981 budget, submitted to the Congress during January 1980, is \$4.9 million greater than the current estimate for FY 1980. This amount includes \$.4 million for inflation and annualization of pay increases occurring during FY 1980 offset by the saving of one less day of pay in FY 1981. Excluding these amounts the net increase is \$4.5 million. This increase is primarily for (1) \$1.7 million for the first phase of a three year program to convert all the military positions to civilian positions as the military rotate out

of the agency (2) \$2.7 million for an increase of 95 civilian positions to close about 11,000 cases more than in FY 1980 and level off the increasing average case completion times at 109 days. Both these increases require major increases in the agency's travel and transportation of things accounts to fund training of new civilian agents and relocate the new hires to the location of the work.

Since the submission of the FY 1981 President's Budget in January 1980, OSD has directed two actions which are not reflected in the resource numbers in this section. The actions were: (1) OSD directed the transfer of the Industrial Security Program from the Defense Logistics Agency (DLA) to the Defense Investigative Service (DIS) in FY 1981; and (2) added 313 civilian positions in FY 1981, an advancement of FY 1982 approved resource levels, to address current program problems (225 for Personnel Security Investigative Program and 88 for Industrial Security Program). The funds to support these actions are under review by OASD(C) and will be determined during the FY 1981 Revised and FY 1982 Budget Estimates Review.

SUMMARY OF RESOURCES IN FY 1981 PRESIDENT'S BUDGET

	<u>FY 1979</u>	<u>FY 1980</u>	<u>FY 1981</u>
<u>Appropriations (\$ in thousands)</u>			
Operation and Maintenance, Defense Agencies	34,639	38,094	43,010
Military Personnel Expenses	4,572	3,975	3,127
Sub-total	(39,211)	(42,069)	(46,137)
Procurement, Defense Agencies	93	545	674
Military Construction, Defense Agencies	...	260	...
Total	<u>\$39,304</u>	<u>\$42,874</u>	<u>\$46,811</u>
 <u>Employment (End Strength)</u>			
Civilian Personnel	1,505	1,540	1,689
Military Personnel	227	200	130
Total	<u>1,732</u>	<u>1,740</u>	<u>1,819</u>
 <u>Performance Criteria</u>			
<u>Personnel Security Investigations</u>			
Cases opened	152,974	156,900	156,900
Cases closed	146,277	144,373	155,438
Cases pending, end of year	33,898	46,425	47,887
Leads accomplished	2,346,883	2,306,102	2,482,848
Agent work years	864	837	888
Leads per agent, per month	226	230	233
Average case completion times (days)	71	96	109
 <u>National Agency Checks</u>			
Cases closed	769,474	793,777	791,608
 <u>Law Enforcement Investigations</u>			
Cases opened	189	215	254
Cases closed	150	146	146
Cases pending, end of year	135	204	312
 <u>Surveys (Crime Prevention and Detection)</u>			
Cases opened	17	18	24
Cases closed	18	18	18
Cases pending, end of year	5	5	11
 <u>Other Investigations</u>			
Cases opened	13	17	22
Cases closed	13	17	22
Cases pending, end of year	0	0	0

11-3

Revised 5 Feb 80

CURRENT FIVE YEAR DEFENSE PLAN

	<u>FY 1981</u>	<u>FY 1982</u>	<u>FY 1983</u>	<u>FY 1984</u>	<u>FY 1985</u>
<u>Dollars (\$000)</u>					
Military Personnel Expenses	3,127	1,865	641
Operation & Maintenance, DA	43,000	45,536	47,950	49,200	49,634
Sub-total	(46,127)	(47,401)	(48,591)	(49,200)	(49,634)
Procurement, DA	674	761	1,321	1,578	1,169
Construction, DA
Total	<u>\$46,807</u>	<u>\$48,162</u>	<u>\$49,912</u>	<u>\$50,878</u>	<u>\$50,803</u>
<u>Personnel</u>					
Civilian	1,689	1,754	1,817	1,816	1,819
Military	130	65
	<u>1,819</u>	<u>1,819</u>	<u>1,817</u>	<u>1,816</u>	<u>1,819</u>

Revised 5 Feb 80

SUMMARY OF OSD AND CONGRESSIONAL RESPONSES
TO DIS OPERATING-BUDGET REQUESTS

Fiscal Year	Action	Funds		Personnel		
		Q&M, DA	Proc, DA	Civilian	Military	Total
1974	DIS Request	21,187	138	1,250	1,750	3,000
	OSD Approved	20,694	138	1,212	1,750	2,962
	Appropriated	20,320	138	1,160	1,750	2,910
1975	DIS Request	26,523	674	1,422	1,504	2,926
	OSD Approved	25,541	674	1,315	1,315	2,630
	Appropriated	25,401	674	1,315	1,315	2,630
1976	DIS Request	28,385	1,142	1,490	1,020	2,510
	OSD Approved	28,437	1,142	1,470	1,000	2,470
	Appropriated	25,397	1,142	1,205	600	1,805
1977	DIS Request	7,121	...	1,494	1,016	2,510
	OSD Approved	7,119	...	1,474	996	2,470
	Appropriated	6,144	...	1,209	596	1,805
1978	DIS Request	28,706	731	1,420	700	2,120
	OSD Approved	28,600	731	1,405	400	1,805
	Appropriated	28,000	731	1,405	400	1,805
1979	DIS Request	31,408	513	1,526	300	1,826
	OSD Approved	30,500	513	1,490	300	1,790
	Appropriated	29,846	513	1,490	300	1,790
1980	DIS Request	33,525	93	1,541	200	1,741
	OSD Approved	33,600	93	1,569	200	1,769
	Appropriated	33,600	93	1,569	200	1,769
1981	DIS Request	35,898	545	1,569	200	1,769
	OSD Approved	35,310	545	1,542	200	1,742
	Appropriated	38,094	545	1,540	200	1,740
1981	DIS Request	43,028	674	1,581	130	1,711
	OSD Approved	43,010	674	1,689	130	1,819
	Appropriated					

Revised 5 Feb 80

MANPOWER

The FY 1981 and FY 1982 budgets provide for 2,802 personnel (2,657 civilians and 145 military), or an increase of 1,062 over the 1,740 authorized for FY 1980. The increase includes 741 authorizations for the Defense Industrial Security Program (ISP) and 17 associated supporting manpower spaces transferred from the Defense Logistics Agency effective in fiscal year 1981. The increase also includes 304 additional authorizations for the Personnel Security Investigations (PSI) Program.

The original FY 1973 authorizations, solely for the PSI Program, provided for 3,000 personnel (1,250 civilians and 1,750 military). The FY 1980 budget had provided for 1,740 personnel, including 1,540 civilians and 200 military for the PSI mission. Thus, over a period of seven years the DIS had suffered a decrease of 1,260 personnel, or 42 percent of its original allocations for PSI. During the same period of time, the number of personnel security investigations opened each year had increased by 15 percent.

Beginning in FY 1979 we experienced a great increase in the number of requests for investigations resulting in an alarming increase in case completion times and the backlog of uncompleted cases. Thus the 304 additional authorizations referred to above are part of a long-range plan to reduce case completion times to 65 days by FY 1985.

By the end of FY 1983 DIS will have completely civilianized the workforce under a Civilianization Program which was started by DIS in FY 1974 and continued by OSD and the Congress.

WORKLOADS

The primary investigative mission of DIS is to conduct personnel security investigations (PSI). About 98 percent of the DIS street agents are devoted to this mission. Requests for PSIs have increased about 15 percent since FY 1974, the first full year of DIS operations.

The latest DIS charter of 19 July 1978 placed DIS under the authority, control, and direction of the General Counsel of the Department of Defense and established DIS as a federal law enforcement agency as well as a personnel security investigative agency. The criminal cases, fraud prevention surveys and the special investigations workload factors reflect the impact of the law enforcement function on the DIS charter.

The DIS charter is currently undergoing revision to incorporate the latest transfer of the industrial security mission to DIS which went into effect on 1 Oct 1980.

SUMMARY OF WORKLOAD FY 1974 TO PRESENT
(Cases Opened)

	<u>FY 1974</u> <u>Actual</u>	<u>FY 1975</u> <u>Actual</u>	<u>FY 1976</u> <u>Actual</u>	<u>FY 1977</u> <u>Actual</u>	<u>FY 1978</u> <u>Actual</u>	<u>FY 1979</u> <u>Actual</u>	<u>FY 1980</u> <u>Actual</u>
Personnel Security Investigations	151,426	148,614	131,418	142,919	146,757	145,111	174,090
National Agency Checks	840,721	930,016	861,210	908,806	766,677	767,000	903,502
Special Investigations	*	*	10	13	3	3	13
Criminal Investigations	-	38	65	105	199	189	220
Fraud Prevention Surveys	-	11	11	6	17	13	15

*A total of 12 special investigations were opened during FY 1974 and 1975 but we do not know how many in each year.

CHANGE IN DIS PSI WORKLOAD FY 74 TO FY 80
(Cases Opened)

	FY 1974 Actual	FY 1980 Actual	FY 1980 (Over (+)/ Under (-) FY 1974	
			<u>Number</u>	<u>Percent</u>
Background Investigations	52,645	64,018	+11,373	+ 22
Special Background Investigations	56,675	64,315	+ 7,640	+ 13
Bring-Up Investigations	21,836	19,011	- 2,825	- 13
Expanded NAC	11,691	26,461	+14,770	+126
Limited Inquiries	1,517	36	- 1,481	- 98
Complaint Cases <u>1/</u>	0	249	+ 249	NA
SIC Cases <u>2/</u>	<u>7,062</u>	<u>0</u>	<u>- 7,062</u>	<u>NA</u>
Total PSI	151,426	174,090	+22,664	+ 15
NAC	840,721	903,502	+62,781	+ 7

1/ New type to handle past operation cases.

2/ PSI issue cases formerly controlled by the Special Investigations Center.

INDUSTRIAL SECURITY PROGRAMS WORKLOAD
FY 80

FACILITIES	AA&E	DIFPP	DISP	TOTALS
COGNIZANCE	328	1608	11681	13652
DELETED	26	749	1103	2031
ADDED	13	101	1368	2457
SURVEYS/INSPECTIONS	322	1490	23073	24885

APPROXIMATELY 600 FACILITIES COMMON TO DIFPP & DISP

146 INDUSTRIAL SECURITY REPRESENTATIVES ON BOARD AT END OF FY 80

AUTOMATED DATA PROCESSING SYSTEMS

SCOPE OF ACTIVITY - The Directorate for Information Systems concerns itself with broad areas of policy, planning, supervision, system design, and progress monitoring in the areas of ADP, microform, and telecommunications.

AUTOMATED DATA PROCESSING

Organization - The staff element is located at 1900 Half Street (Buzzard Point). The field operating unit, Information Systems Unit, is located at Baltimore, MD, and is under the operational control of the Director for Information Systems.

Equipment - Currently, the field unit operates an IBM 4341, an interim economic replacement for the IBM 370/145. The latter was installed to replace an older, failure-prone IBM 360/40 inherited from the Army at the time DIS became operational and assumed management of the Defense Central Index of Investigations (DCII). The specified make and model procurement of the IBM 370 by the General Services Administration (GSA) was based on demonstrated need: progressively higher incidence of failure of the principal components (Data Cells) of the IBM 360 computer; increasing workload requiring more powerful processing capability; the requirement to preserve the integrity of the DCII; and the necessity of providing continuing "on demand" service to the Army, Navy, and Air Force investigative agencies (AIRR, USACIDC, NIS, OSI) as well as to a large number of other governmental investigative/security-related organizations (CIA, NSA, DISCO, CSC, FBI, etc.). The equipment

was procured with the provision that it would be replaced at the end of 1978 by an ADP capability acquired through a fully competitive process. The replacement date was extended to November 1980, and then to November 1982, when funding, for DCII-ALPHA Search software development was deferred to the 1982 POM by the DoD Comptroller in February 1980.

Services - The computer performs a number of equally important functions in the operational areas, i.e., processing of information associated with investigative activities such as case handling, management of the index (the DCII), and the processing of National Agency Checks (NACs). It also supports the adjudicative functions of the Army and the Air Force and, on a lesser priority, the administrative and other functional managers of the DIS staff (Personnel and Security, Management and Resources, and Information and Legal Affairs).

a. DCII - The most significant computer service provided to the DIS staff, the investigative agencies of the three military services, and other government agencies is the on-line query capability of the DCII which accounts for approximately 50% of computer system utilization. (Attachment 9). This is an 18-million record automated file of DoD-associated individuals, containing only the requisite personal identifiers (date and place of birth; serial number; Social Security Number; sex) enabling each investigative agency to determine the existence, location, and case number of an investigative file on a subject. Substantive investigative information, i.e., case contents, is not automated. When the existence of an investigative file is indicated by

the DCII response, the requester must then request the appropriate investigative file repository (Army, Navy, Air Force, or DIS) to provide a copy of the dossier. Software capabilities include a name variant search capability to enable the system to respond to a query even though the exact name, spelling and/or other identifying data is not known. The DCII also includes a separate field of information inserted by Army, Air Force, DIA, describing clearance level access authorized the subject in question. The on-line inquiry-retrieval network consists of approximately 39 CRT terminals: 36 in the Washington-Baltimore area, one at Columbus, Ohio (Defense Industrial Security Clearance Office - DISCO), and one at Boyers, Pennsylvania (Office of Personnel Management). The off-line service supports a fairly large number of non-DoD agencies. The DCII contains references not only to personnel security investigations, but also to security level clearances access and to criminal files of all the military service investigative agencies, including DIS.

b. DCCS - The Defense Case Control System (DCCS) is a partially on-line, internal (to DIS only) system whereby all PSI leads and cases are accounted for: case openings, closings, lead assignments, age of leads, location of leads, statistical summaries of trends, case-load for any particular time frame, office of origin, and related data required for planning and management decisions. Currently, the DCCS accounts for PSI cases only; however, the format is such that it can accommodate other types (criminal, counterintelligence) of cases.

c. CICCS - The Criminal Investigation Case Control System (CICCS) does for the criminal and fraud prevention survey cases what the DCCS does for PSI cases. The DCCS format was such that, with some modification, it has been adapted to the criminal/law enforcement area.

d. NCCS - The National Agency Check Case Control System (NCCS) does for the NACs what the DCCS does for the PSI cases, insofar as DIS internal operations are concerned. Additionally, it prints the Report of NAC (RON) as a computer output in cases where the report contains no derogatory information. This procedure eliminates clerical time required to prepare the final report. A related NAC computer service is the transmission of non-derogatory RONs directly from the DIS computer to the DISCO terminal in Columbus, Ohio. This eliminates approximately six days turnaround time attributed to mail service.

e. JACS - The Joint Adjudication Control System (JACS) is an on-line inquiry and clearance level access file system supporting the centralized adjudication functions of the Army and of the Air Force. Each Department now has four and 14 devices, respectively. Clearance certificates are printed at the terminals, thereby reducing clerical requirements and clearance processing time. DIS support in this area is scheduled to continue to increase. Clearance information will be transmitted via AUTODIN to the Air Force's Military Personnel Center for further dissemination to major commands, numbered Air Forces and unit level organizations.

f. Administrative Management Systems - A listing is provided as Attachment 10.

Relationships - On technical matters, DIS receives direction from and coordinates with the Directorate of Data Automation (DDA) in the Office of the Deputy Assistant Secretary (Management Systems)

OASD(C). On substantive issues, such as type of data to be included in the DCII and Privacy Act impact, the DoD supervising office is the Defense Counterintelligence & Investigative Program Office (DC&IF). On policy-planning matters, the DIS generally deals with the Services directly. On technical production matters, both for internal computer services and for DCII considerations, the Information Systems Unit at Baltimore, MD, works directly with the Services and other DCII customers.

Microform - It was foreseen, at the time DIS became operational in October 1972, that the number of files maintained would eventually number in the millions and, consequently, exceed the storage capacity of the DIS Personnel Investigations Center (PIC), Building 320, Baltimore, MD. In the initial, integrated design of an information handling system for DIS, the Microfiche format was selected as the most versatile microform to interface with the computer and the then-existing telecommunications system. As a result of changing conditions during the years 1972-1975 (manpower, organization, budget, deletion of telecommunications) the configuration of the microfiche system was readjusted to solve the storage problem only. As requesters acquire microform handling capabilities, plans are to distribute Reports of Investigation (ROIs) in microform. As of 31 October 1980, total investigative file holdings amounted to 1,598,000. Of this number, 1,250,000 files are maintained in microform.

Telecommunications - Due to budgetary restrictions, this system was discontinued in December 1975. Planning was redirected to provide for some mode of communications with the field units in FY 1981 if operational requirement demand it.

Distributed Processing - The planning cited above resulted in the presentation to the Director and staff, in the Spring of 1979, of a concept document outlining two basic approaches: one a telecommunications system (three versions were described), the other a distributed processing system. The latter was selected, with DIS-wide implementation contingent upon the successful outcome of a 6-month pilot effort at Region 22 headquarters in Norfolk, VA. The purpose of the distributed processing system is to improve the Reports of Investigation (ROIs) preparation process by shortening the time for its preparation in the field, accounting for all leads daily, standardizing the final report format, providing daily management statistics to the regional director, facilitating the implementation of the courtesy letter program, and simplifying office correspondence preparation through a word processing capability. The principal feature of the proposed system is the connection of a local (field) terminal (CRT, keyboard, printer, disk storage unit) directly to the DIS computer at Baltimore, rather than through a telecommunications switch. ROIs prepared through the use of special computer programs and conforming to given standards may be transmitted directly to the Baltimore computer, with a copy retained in the local disk storage unit; data for the preparation of the ROI would be forthcoming from the computer nightly. Periodically, the regional

director could query his local terminal, to which statistical information would have been transmitted from the Baltimore computer at regular intervals, to obtain necessary case management statistics. In general, the system is designed to preserve integrity of data, account for leads and cases daily, standardize ROI production, and eventually reduce the amount of resources (manpower) required in the preparation of ROIs, courtesy letters, and office correspondence. The system is still in the pilot test mode and operating very successfully.

Industrial Security Management Information Report. This report contains management data which provides operating officials performance information and data. The information is used to highlight and identify existing and potential problem areas. The Industrial Security Management Information Report will be discontinued in FY 82 and integrated with the Industrial Security Management Information System (ISMIS). This system will be implemented in 10 DIS regions but will initially be set up in three regions. The equipment for each location will consist of two CRTs, one printer, and one control unit. In general, the system is designed to provide more and better information concerning workload, performance, and mission accountability. This system is currently managed by DLA, but the services to DIS are paid for by DIS.

December 1980

LOGISTICS

The centrally directed logistic support for DIS is accomplished by a small staff at DIS headquarters and by personnel assigned to each of the 10 regional headquarters. The major areas of oversight concern office space, Interagency Support Agreements (ISAs), motor vehicles, supply management, and safety.

On 1 October 1980, DIS had 304 units spread throughout the 50 states, District of Columbia and Brussels, Belgium (one industrial security office). The units range in size from the largest (the Personnel Investigations Center (PIC)) with 374 authorized personnel, in Baltimore, MD, to 56 one-person resident agencies, located in the various states.

Headquarters, DIS

Special Investigations Unit

Personnel Investigations Center

Information Systems Unit

Office of Industrial Security, International

Defense Industrial Security Institute

Defense Industrial Security Clearance Office

Regions (10)

Field Offices (103)

Resident Agencies (184)

The selection of field unit location and personnel strength is based primarily on workload distribution. This is primarily dictated by

civilian, DoD contractor and military populations. Cost is another factor considered in locating DIS offices. Space on military installations is utilized when available and is paid for through ISAs with the respective hosts. The next least-cost space available is in the form of General Services Administration (GSA) owned or leased facilities. If neither GSA nor military installation space is available, DIS may occupy commercial office space leased by the Office of the Chief of Engineers (OCE), USA.

At each location where DIS can receive support from other government facilities, an ISA is executed. The agreements, in accordance with DOD Manual 4000.19-M, Defense Retail Interservice Support (DRIS) Manual, include support items, as applicable, mainly involving motor vehicle maintenance, ADP support, printing and reproduction, office space, and office maintenance, and utilities. As of 1 October 1980, DIS had 199 ISAs in effect at an approximate face value of \$685,145 and was negotiating additional ISAs to support some 65 additional locations which were added with the transfer of industrial security functions to DIS from the Defense Logistics Agency (DLA).

The basic nature of personnel investigations work requires personal interviews and records checks at locations throughout the United States. To accomplish this, the requirement is for one motor vehicle per field agent. In most instances, due to the nature of investigative work, the use of public transportation is not practical or economical. The DIS fleet totals 1,070 vehicles. Vehicle replacement is budgeted annually and based on DoD criterion of six years or 72,000 miles as the replacement

rule. DIS has a vehicle rotation program to balance vehicle use and aging as much as economically feasible. For example, in 1980 DIS received 102 new compact sedans to replace aged vehicles. Detailed statistics on the age, condition, operating costs, mileage and vehicle accidents are kept by DIS headquarters. DIS engages in safety and energy conservation programs.

FOR IMMEDIATE RELEASE

NOVEMBER 5, 1971

Office of the White House Press Secretary
-----THE WHITE HOUSE

The White House announced today that the President has directed a number of management steps to improve the efficiency and effectiveness of the U.S. foreign intelligence community.

The President's objectives are to ensure:

- Continuing review of the responsiveness of the U.S. intelligence effort to national needs.
- Strengthened leadership for the community as a whole.
- More efficient use of resources in the collection of intelligence information.
- Elimination of less efficient or outmoded activities.
- Improvement in the quality, scope and timeliness of intelligence information.

The improvements directed by the President follow an exhaustive study conducted at his direction by the staffs of the National Security Council (NSC) and the Office of Management and Budget (OMB) with contributions from the President's Foreign Intelligence Advisory Board (PFIAB), the President's Science Advisor, and the Intelligence Community.

The major management improvements include:

- An enhanced leadership role for the Director of Central Intelligence (DCI) in planning, reviewing, coordinating, and evaluating all intelligence programs and activities, and in the production of national intelligence.
- Establishment of a National Security Council Intelligence Committee, chaired by the Assistant to the President for National Security Affairs. Its members will include the Attorney General, the DCI, the Under Secretary of State, the Deputy Secretary of Defense, and the Chairman of the Joint Chiefs of Staff. The Committee will give direction and guidance on national intelligence needs and provide for a continuing evaluation of intelligence products from the viewpoint of the intelligence user.

-- Reconstitution of the United States Intelligence Board , chaired by the DCI, including as members the Deputy Director of Central Intelligence (Vice Chairman); Director of Bureau of Intelligence and Research, State Department; Director of National Security Agency; Director of the Defense Intelligence Agency; representatives of the Secretary of the Treasury and of the Director of the Federal Bureau of Investigation and the Atomic Energy Commission. The Board will advise and assist the DCI with respect to the production of national intelligence, the establishment of national intelligence requirements and priorities, the supervision of the dissemination and security of intelligence material, and the protection of intelligence sources and methods.

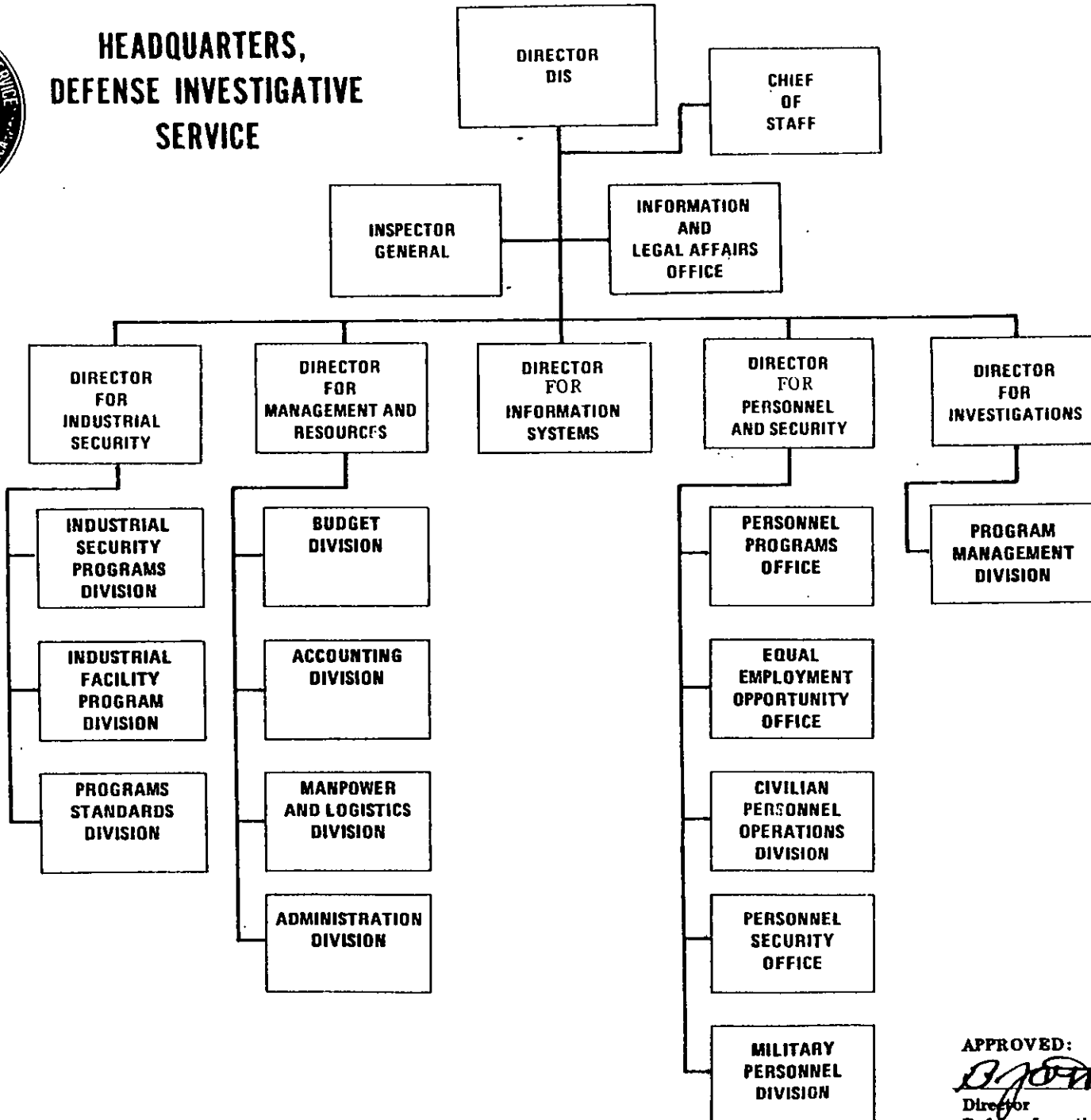
The President has also directed certain changes in the Department of Defense's intelligence organization.

A National Cryptologic Command will be set up under the Director of the National Security Agency. Under this command will be consolidated activities now carried out by separate agencies. A further change is the consolidation of all Department of Defense personnel security investigations into a single Office of Defense Investigations. The President has also directed that a Defense Map Agency be created by combining the now separate mapping, charting and geodetic organizations of the military services in order to achieve maximum efficiency and economy in production.

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HEADQUARTERS, DEFENSE INVESTIGATIVE SERVICE



APPROVED:

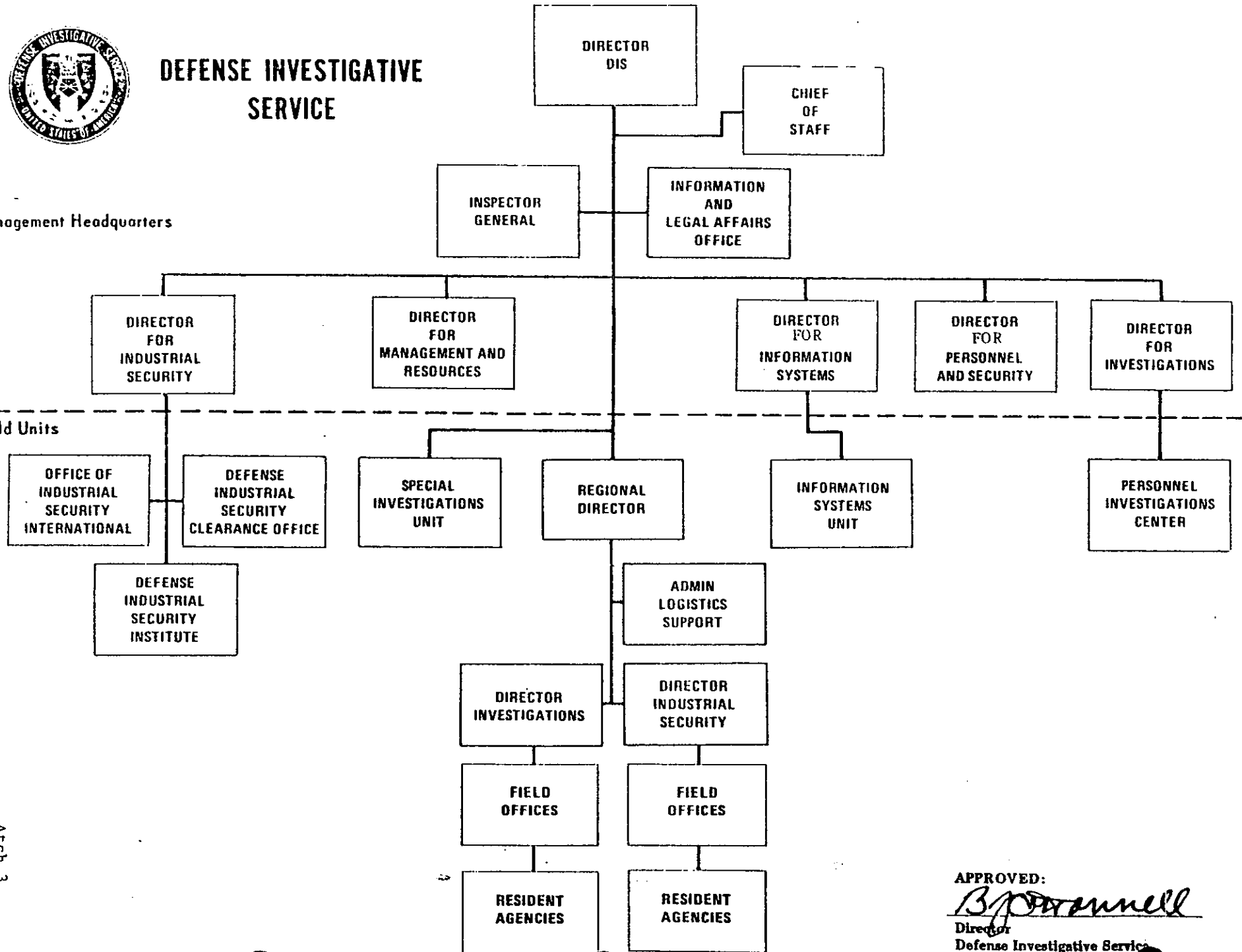
Director
Defense Investigative Service
December 1980



DEFENSE INVESTIGATIVE SERVICE

Management Headquarters

Field Units

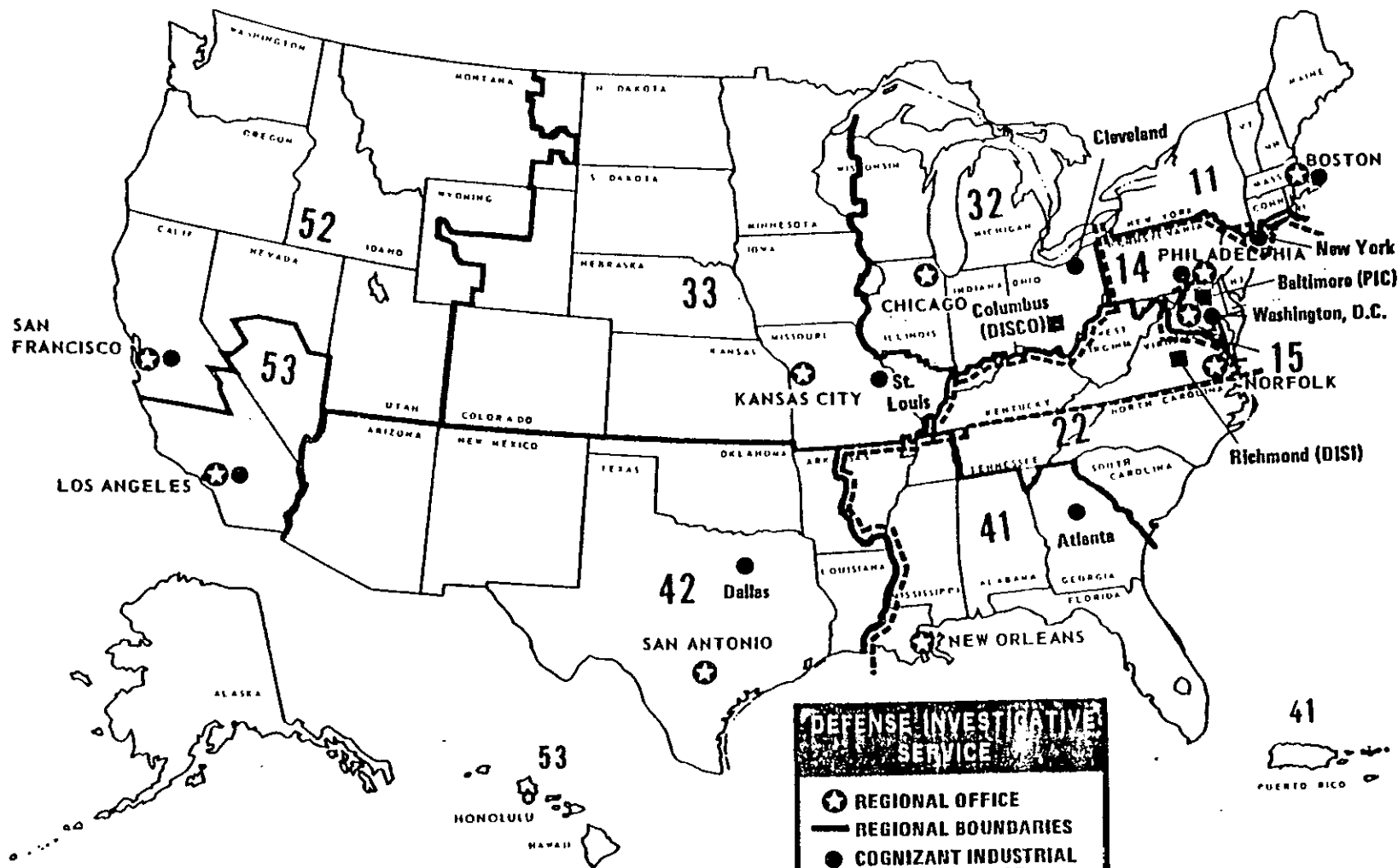


Atch 3

APPROVED:

B. J. Parrnell

Director
Defense Investigative Service
December 1980



DIS FIELD ORGANIZATION
(EFF 1 OCT 80)

Atch 4

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DEFENSE INVESTIGATIVE SERVICE
PERSONNEL INVESTIGATIONS CENTER

OFFICE OF THE DIRECTOR
PERSONNEL INVESTIGATIONS
CENTER
DIRECTOR
DEPUTY DIRECTOR

OPERATIONS
MANAGEMENT
OFFICE

INVESTIGATIONS
DIVISION

INVESTIGATIVE
FILES
DIVISION

SUPPORT
SERVICES
DIVISION

INVESTIGATIONS
BRANCH
A - D

INVESTIGATIONS
BRANCH
G - K

INVESTIGATIONS
BRANCH
P - S

INVESTIGATIONS
BRANCH
W - Z

FILES/
MICROMATION
BRANCH

INQUIRY/
REVIEW
BRANCH

MAIL/
DISTRIBUTION
BRANCH

SECURITY
BRANCH

SUPPLY/
MAINTENANCE
BRANCH

- TEAM A
- TEAM B
- TEAM C
- TEAM D

- TEAM G
- TEAM H
- TEAM J
- TEAM K

- TEAM P
- TEAM Q
- TEAM R
- TEAM S

- TEAM W
- TEAM X
- TEAM Y
- TEAM Z

NATIONAL AGENCY
CHECK
DIVISION

OPENING
BRANCH

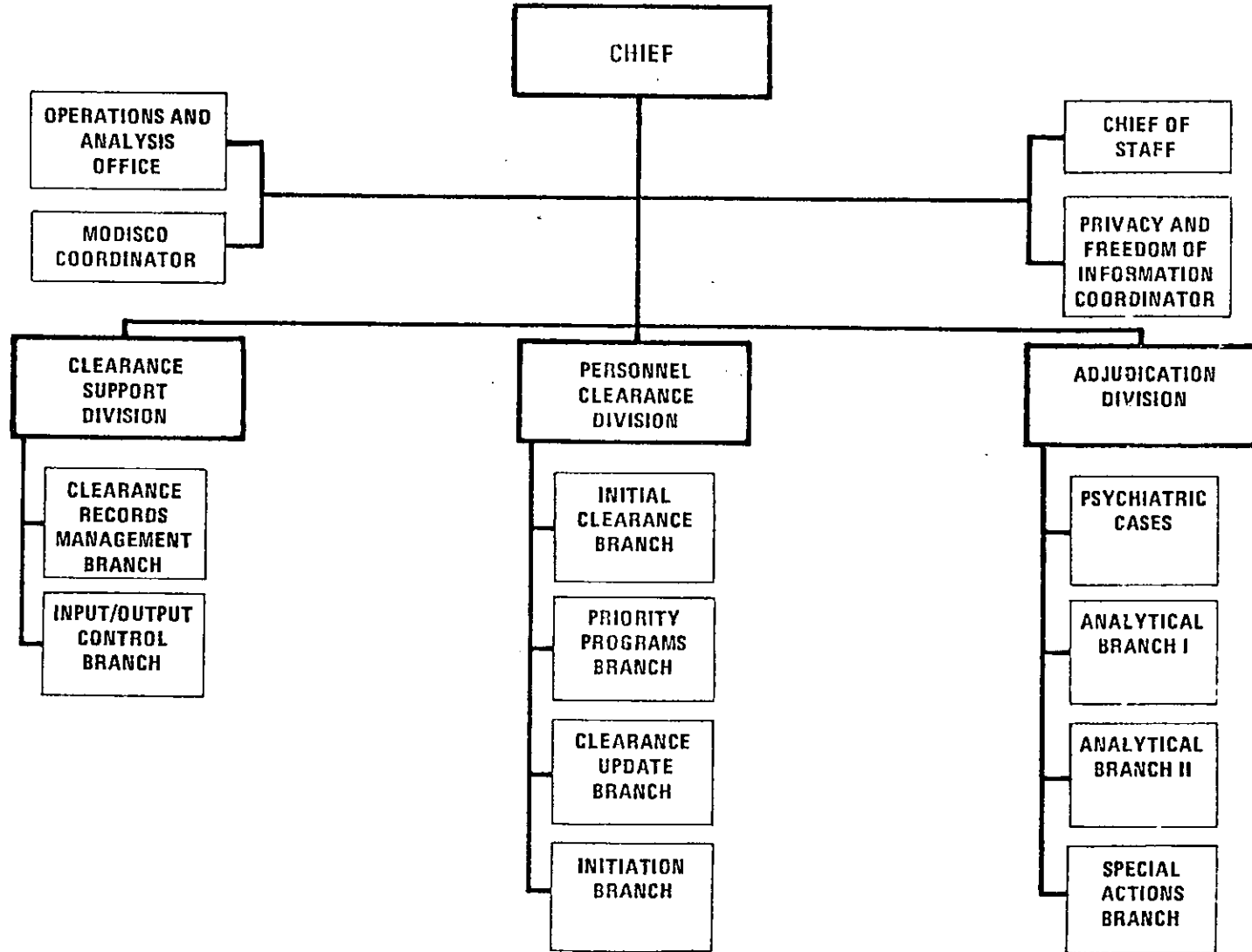
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APPROVED:
[Signature]
Director
Defense Investigative Service
December 1980



DEFENSE INDUSTRIAL SECURITY CLEARANCE OFFICE



ATCH 6

APPROVED:

Director
Defense Investigative Service
December 1980

MEMORANDUM FOR Secretaries of the Military Departments
Chairman of the Joint Chiefs of Staff
Director of Defense Research and Engineering
Assistant Secretaries of Defense
General Counsel
Assistants to the Secretary of Defense
Directors of Defense Agencies

SUBJECT: Establishment of the Defense Investigative Service (DIS)

References: (a) Presidential Memorandum dated November 5, 1971,
subject: "Organization and Management of the U.S.
Foreign Intelligence Community"
(b) SecDef Memorandum of November 10, 1971,
subject: "DoD Organizational Changes"
(c) DoD Directive 5200.26, February 17, 1971,
subject: "Defense Investigative Program"

By reference (a), the President directed establishment of a single office of Defense investigations. In reference (b), I directed the ASD (Comptroller) to develop a plan to accomplish this reorganization.

I have reviewed the plans presented by him and have decided to approve a time-phased course of action creating a Defense Investigative Service (DIS) as a separate Defense Agency reporting directly to the Secretary of Defense. This will be accomplished in three phases:

- On 1 January 1972, the DIS will be established and will function initially as a planning group charged with making necessary arrangements to commence operations on 1 April 1972.
- On 1 April 1972, the case control staff functions of the Military Departments will be consolidated under the DIS, which will assume control of all Personnel Security Investigations (PSI) within the Department of Defense, tasking the Military Department investigative agencies for the field investigative effort. Investigators will remain with the Military Departments. On the same date, the DoD National Agency Check Center (DODNACC) and the Defense Central Index of Investigations (DCI) will be incorporated in the DIS.
- On 1 October 1972, all PSI field investigative resources will be transferred from the Military Departments to the DIS and investigators will be assigned directly

I will appoint a Director of the DIS.

The Assistant Secretary of Defense (Comptroller) will provide policy guidance and staff supervision for the DIS and is delegated responsibility under the provisions of reference (c) to direct, manage, and review the Defense Investigative Program.

Each Military Department will provide as soon as possible to the Director, DIS, five professional and two clerical personnel on a temporary basis to assist the Director in developing organizational structure, program plans, and operating procedures for the DIS. Direct liaison between the Director and appropriate officials designated by the Secretaries of the Military Departments is authorized to effect cross-servicing agreements for the permanent transfer of personnel to the DIS to proceed with the operations of the agency as set forth herein.

The Secretaries of the Military Departments and Director, DIS, through liaison with appropriate Military Departments personnel, jointly, will ensure that effective performance of personnel security investigations continues during the 1 January - 1 April transition period.

In the near future, I intend to appoint a Study Group with a view toward determining whether the DIS functions should be expanded to include counter-intelligence and criminal investigation.

Effective 1 July 1972, the ASD (Comptroller) is assigned Program Manager responsibilities for the Counterintelligence and Investigative activities, ~~now~~ vested in the Director, DIA.

The ASD (Comptroller) will assist the Director, DIS, as necessary, and monitor the progress of implementing actions contained in this memorandum.

BRIEF DESCRIPTION OF INSTITUTE COURSES

Industrial Security Basic Course: A one-week course available to U.S. government personnel desiring an orientation in the Defense Industrial Security Program (DISP). No security clearance required.

Industrial Security Specialist Course: A six-week course for U.S. government personnel who require training to perform as staff specialists or as industrial security representatives at cognizant security office level. Secret security clearance required.

Industrial Security Career Course: A one-week course for U.S. government industrial security personnel who have been in the DISP for three to five years. Secret security clearance required.

Industrial Security Management Course: A one-week course for civilian personnel employed by contractors who have been issued a facilities clearance under the DISP. Also offered as a field extension. No security clearance required.

Industrial Security Executive Seminar: A one-week course offered for executive level industry and U.S. government personnel involved with the DISP. Held even-numbered years. Attendance is by invitation only. Secret security clearance required.

Industrial Facilities Protection Course: A one-week course for personnel of industrial facilities participating in the Defense Industrial Facilities Protection Program (DIFPP) or personnel of industry and governmental agencies whose duties include national emergency, mobilization, or disaster planning. Also offered as a field extension. No security clearance required.

Industrial Facilities Protection Executive Seminar: A one-week course designated to provide executive level personnel of government and industry who are engaged in the DIFPP a forum for the exchange of ideas and experiences culminating in recommendations for improving the program. Held in odd-numbered years. Attendance is by invitation only. No security clearance required.

Information Security Management Course: A two-week course for U.S. government and industry personnel involved in the administration and safeguarding of classified material. Industry personnel attend the second week only. Also offered as a three-day orientation (field extension). No security clearance required.

International Industrial Security Orientation Conference: A one-week course offered every two years for representatives of selected foreign governments. Attendance is by invitation only.

DEFENSE CENTRAL INDEX OF INVESTIGATIONS (DCII)

- File size is 18-million records
- 39 on-line terminals access the system
- In addition to DoD, the following non-DoD agencies/offices are authorized access:

Executive Office of the President
Action
Agency for International Development
Central Intelligence Agency
Environmental Protection Agency
Federal Emergency Management Agency
International Communication Agency
Bureau of Engraving and Printing
Government Printing Office
Department of Agriculture
Department of Commerce
Department of Education
Department of Energy
Department of Health and Human Resources
Department of Housing and Urban Development
Department of Interior
Department of Justice
Department of Labor
Department of State
Department of Transportation
Department of Treasury
Drug Enforcement Administration
Federal Bureau of Investigation
Federal Communication Commission
Federal Highway Administration
Federal Trade Commission
General Services Administration
Geological Survey National Center
Goddard Space Flight Center
National Aeronautics and Space Administration
Immigration and Naturalization Service
Internal Revenue Service
National Park Service
U.S. Customs Service
U.S. Postal Service
U.S. Secret Service
Library of Congress
National Labor Relations Board
Nuclear Regulatory Commission
Office of Management and Budget
Office of Personnel Management
Securities and Exchange Commission
Small Business Administration

Social Security Administration
Veteran Administration
Export - Import Bank of U.S.
U.S. Arms Control and Disarmament Agency
U.S. Coast Guard
U.S. General Accounting Office
U.S. International Trade Commission

ADMINISTRATIVE MANAGEMENT SYSTEMS

Civilian Personnel Management Information Systems

Table of Distribution Systems

DCII Disclosure Accounting System

Tape Library System

Military Personnel Management System

Operator Analysis Reporting System

Logistics Management Information System

Job Accounting Report System

Workload/Manhour Reporting System

Automated Scoping Guide System

*Army Drug Reporting System

*Criminal Research and Statistical System

*Army Case Control System

**Joint Adjudication Clearance System

***Mechanization of Contract Administration Services

*User of reports generated from these systems is the Crime Records Directorate, USACIDC. All other systems listed above generate reports used by DIS staff.

**User of reports generated by this system include all Military Services.

***Managed by DLA but services are funded by DIS.

DEFENSE INTELLIGENCE AGENCY

40
pages

The attached documents were provided to the Reagan-Carter Transition Team. Portions of the document are currently and properly classified and are exempt from release. These portions have been excised from the document. The excised information is exempt from release inasmuch as it involves intelligence sources and methods, and it reflects the predecisional opinions of individuals within DIA (to encourage open discussions with the transition team numbers). FOIA exemptions (b)(1), (b)(3), and (b)(5) are applicable. Additionally, former security and administrative markings have been removed from the document.

The Initial Denial Authority is Admiral E. A. Burkholder, Chief of Staff, Defense Intelligence Agency. Should you wish to appeal this denial of the above information you may forward your comments to the Director, Defense Intelligence Agency, RTS-2A, Washington, D. C. 20301.

FILE
COPY

DEFENSE INTELLIGENCE AGENCY
AND THE
GENERAL DEFENSE INTELLIGENCE
PROGRAM

DECEMBER 1980

DEFENSE INTELLIGENCE AGENCY
AND THE
GENERAL DEFENSE INTELLIGENCE
PROGRAM

DECEMBER 1980

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EXECUTIVE SUMMARY

The Secretary of Defense approved mission of the Defense Intelligence Agency is to satisfy, or to ensure the satisfaction of, the foreign intelligence requirements of the Secretary of Defense, the Joint Chiefs of Staff, DoD components and other authorized recipients, and to provide the military intelligence contribution to national intelligence. (Source—DoD Directive 5105.21, 19 May 1977)

Lieutenant General Eugene F. Tighe, Jr., USAF, appointed in 1974 by President Nixon to be Deputy Director of DIA. He was confirmed in that position in 1976 by President Ford. General Tighe was appointed by President Carter and has served as Director of the organization since 1977.

The Director, Defense Intelligence Agency, serves in several major capacities.

- Senior substantive intelligence advisor to the Secretary of Defense.
- J-2, Joint Chiefs of Staff (Director of Intelligence)
- Director of a major Defense Agency
- Budget Manager of the General Defense Intelligence Program (US Army, US Air Force, US Navy, US Marine Corps and DIA)
- Director of Defense Intelligence and Training
- Principal Department of Defense member of the National Foreign Intelligence Board for all substantive matters.

The Director, Defense Intelligence Agency, is assisted by an Army Deputy, Major General Richard X. Larkin and a Navy Chief of Staff, Rear Admiral Edward A. Burkhalter, Jr.

DEFENSE INTELLIGENCE AGENCY

DIA was established as an agency of the Department of Defense by DoD Directive in 1961. DIA, under provisions of the National Security Act of 1947, as amended, operates under the direction, authority, and control of the Secretary of Defense.

The Agency is functionally organized to accomplish four major goals set forth in the Defense Policy Guidance:

- *Support operational commanders:* Provide the intelligence needed to plan, organize and control military operations throughout the spectrum of conflict.
- *Provide timely indications and warning:* Acquire, assess and disseminate vital information concerning intentions and preparations for, or initiation of, nuclear or conventional attacks on the US or its allies; and other critical situations.
- *Contribute to national-level intelligence needs:* Provide policy and planning information to the National Command Authority (NCA), and fulfill requirements for national foreign intelligence, including verification of arms control agreements.
- *Meet departmental requirements:* Provide information required to promote readiness, develop US weapon systems; and train, arm and structure US armed forces.

Organizationally, the Agency is composed of five major directorates:

VICE DIRECTOR FOR FOREIGN INTELLIGENCE

Dr. Edward M. Collins

Produces basic foreign military, scientific and technical and estimative intelligence.

VICE DIRECTOR FOR MANAGEMENT AND OPERATIONS

Major General Richard X. Larkin, USA

Directs the operations of the Defense Attache System, and is responsible for Defense intelligence collection and production management.

**DEPUTY DIRECTOR FOR INTELLIGENCE
AND EXTERNAL AFFAIRS**

Mr. John T. Hughes

Establishes the policy, planning and
programmatic basis for Defense
intelligence activities.

ASSISTANT DIRECTOR FOR JCS SUPPORT

Major General James L. Brown, USAF

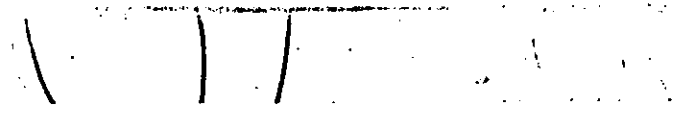
Provides direct support to the JCS and
produces current and indications and
warning intelligence.

ASSISTANT DIRECTOR FOR RESOURCES AND SYSTEMS

Mr. Carl H. Norton

Manages Agency resources, security,
personnel, processing, reference and
general support activities.

DEFENSE INTELLIGENCE AGENCY



SECTION A discusses the Department's current and projected intelligence requirements, the Department's current and projected intelligence capabilities, and the Department's current and projected intelligence policies and procedures.

- Support to operational commanders
- Provision of timely indications and warning intelligence
- Contribution to national-level intelligence needs
- Satisfaction of departmental requirements.

SECTION B provides statistical information on the 4,500 DIA employees. Highlighted in this section is information on the functional distribution and the educational/grade breakdown of the military and civilian analytical workforce.

SECTION C details the current location of DIA facilities in the Washington area and the planning associated with the new building to be built on Bolling Air Force Base—the Defense Intelligence Analysis Center.

SECTION D contains a short history of DIA, tracing significant developments since its formation in 1961.

SECTION E reviews some of the accomplishments of DIA during the past few years, with emphasis on enhanced substantive intelligence production and improved management of Defense intelligence production and collection activities.

MISSION, ORGANIZATION AND FUNCTIONS

A

111

**MISSION AND CHARTER
DOD DIRECTIVE 5105.21**

Department of Defense Directive

SUBJECT Defense Intelligence Agency

- References:**
- (a) DoD Directive 5105.21, "Defense Intelligence Agency," December 16, 1976 (hereby cancelled)
 - (b) DoD Directive 5137.1, "Assistant Secretary of Defense (Communications, Command, Control and Intelligence)," March 11, 1977
 - (c) DoD Directive 5000.2, "Major Systems Acquisition Process," January 18, 1977
 - (d) DoD Directive S-3115.7, "Signals Intelligence (SIGINT) (U)," January 25, 1973
 - (e) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976
 - (f) through (m), see enclosure 2

A. PURPOSE

Pursuant to the authority vested in the Secretary of Defense under the provisions of title 10, United States Code, the Defense Intelligence Agency (hereinafter "the DIA") is hereby established with responsibilities, functions and authorities as prescribed herein.

B. MISSION

The mission of the DIA is to satisfy, or to ensure the satisfaction of, the foreign intelligence requirements of the Secretary of Defense, the Joint Chiefs of Staff, DoD components and other authorized recipients, and to provide the military intelligence contribution to national intelligence.

C. RESPONSIBILITIES AND FUNCTIONS

The Director, DIA, shall advise the Secretary of Defense on intelligence matters. Under his direction and control, the DIA shall:

Department of Defense Intelligence Center for support to the DIA mission.

2. Provide intelligence and intelligence staff support to the Joint Chiefs of Staff in accordance with their requirements and established procedures.
3. Ensure that adequate, timely and reliable intelligence is available to the Unified and Specified Commands.
4. Participate in the DSARC process as established in DoD Directive 5000.2 (reference (c)), by providing the Director of Defense Research and Engineering with threat descriptions based on the information derived from intelligence and threat validation in support of systems acquisition.
5. Supervise the DoD indications system and provide support to the National Military Command System through the National Military Intelligence Center.
6. Validate, register, assign, recommend priorities for, and monitor the satisfaction of DoD collection requirements, including those requirements assigned under the provisions of DoD Directive S-3115.7.
7. Provide central management for the Defense Attache System.
8. Participate in the National Photographic Interpretation Center and the Defense Special Missile and Astronautics Center.
9. Establish, maintain and operate facilities for DoD imagery indexing, processing, duplication, evaluation, exploitation and central repository services in support of DoD and other authorized recipients.
10. Supervise a DoD-wide intelligence dissemination program and provide centralized dissemination services in support of DoD and other authorized recipients.
11. Provide intelligence bibliography, reference library, and research services as required to fulfill the DIA mission.
12. Operate the Defense Intelligence School.
13. In coordination with other intelligence agencies concerned, recommend plans for intelligence operations, including plans for the commanders. As directed, coordinate the execution of approved intelligence operations plans.

15. Act as principal authority for all DoD intelligence information systems except those systems dedicated to signals intelligence operations and support functions falling within the scope of DoD Directive S-311.07 (reference (d)).

16. Establish and operate a DoD career development program for civilian general intelligence personnel; review, coordinate, and evaluate effectiveness of career development programs for military general intelligence personnel; conduct planning and guidance activities in coordination with DoD components on these programs to meet DoD requirements. Provide technical assistance in the development and conduct of DoD general intelligence training.

17. Provide guidance, in conformance with policies of DoD and the Director of Central Intelligence, to DoD components concerning the release of Defense intelligence information to foreign governments, international organizations and the public.

18. Administer DoD security policies and programs to protect intelligence and intelligence sources and methods, including direction of the Defense Special Security System.

19. Adjudicate clearance eligibility for DIA civilian personnel and eligibility for access to compartmented intelligence for all personnel assigned to OSD, OJCS, and the Defense Agencies, with the exception of NSA, including contractors and consultants.

20. Provide representation on national and international intelligence committees, boards and working groups, as appropriate.

21. Provide the DoD focal point for relationships with foreign intelligence services.

22. Prepare and submit to the Secretary of Defense the DIA program and budget.

23. Ensure that all DIA policies, plans, programs and activities are carried out in accordance with law and the provisions of Executive Orders and other directives from higher authority establishing oversight controls on foreign intelligence activities.

24. Report to the Inspector General for Defense Intelligence and the General Counsel, Department of Defense, any activities that raise questions of legality or propriety.

D. ORGANIZATION AND ADMINISTRATION

* 1. The Director, DIA, will be a commissioned officer of suitable
* general or flag rank appointed by the Secretary of Defense in accordance
* of the Armed Forces on active duty. The DIA shall be authorized such
personnel, facilities, funds, and other administrative support as the
Secretary of Defense deems necessary. *

2. The Director, DIA, shall report to the Secretary of Defense and
the Chairman, Joint Chiefs of Staff. The Director, DIA, shall be under
the operational control of the Joint Chiefs of Staff for the purposes of:

a. Obtaining the intelligence support required to perform the
statutory and assigned responsibilities of the Joint Chiefs of Staff;
and

b. Ensuring that adequate, timely and reliable intelligence
support is available to the Unified and Specified Commands.

3. Staff supervision of the DIA for the Secretary of Defense will
be exercised by the Assistant Secretary of Defense (Communications,
Command, Control, and Intelligence) with respect to resources, and by
the Assistant Secretary of Defense (International Security Affairs)
with respect to policy.

4. The performance of the Director, DIA, will be evaluated by the
Secretary of Defense. The Chairman, JCS, shall report on performance of
the Director, DIA, concurrently with the Secretary of Defense's report.

E. RELATIONSHIPS

1. In the performance of his duties, the Director, DIA, shall:

a. Coordinate actions, as appropriate, with DoD components and
governmental agencies having collateral or related functions in the
field of his assigned responsibilities.

b. Maintain liaison for the exchange of information and advice
with DoD components and other governmental agencies in the field of his
assigned responsibilities.

2. The Military Departments and other DoD components shall provide
such support and assistance to the DIA as may be necessary for carrying
out its mission.

#First Amendment (Ch 1, May 16, 1979)

specifically delegated authority to:

1. Establish, operate and control all organizations and activities assigned to DIA.
2. Assign tasks and issue instructions and guidance to DoD components as necessary to carry out the functions assigned herein and such additional functions as may be assigned. All such assignments and issuances to a Military Department shall be through the Secretary of Defense or his designee. For activities under the cognizance of the Joint Chiefs of Staff, the Director, DIA, shall function as the intelligence staff officer of the Joint Staff and assign tasks in accordance with procedures of the Joint Chiefs of Staff.
3. Have free and direct access to and communication with DoD components, the U.S. Intelligence Community, and other executive departments and agencies as necessary.
4. Obtain from any DoD component such information as may be necessary for the performance of assigned functions, subject to the provisions of DoD Directive 5000.19 (reference (e)).
5. Enter into agreements on intelligence exchanges and cooperation with foreign military intelligence services as required to fulfill the DIA mission.

G. EFFECTIVE DATE

This Directive is effective immediately.

Harold Brown
Secretary of Defense

Enclosures - 2

1. Delegation of Authority
2. References (withdrawn)

Department of Defense, the

1. E. revise the position titles in the Department of Defense by 5 U.S.C. § 5302 and 5 U.S.C. § 5101 (reference (i)) pertaining to the employment, classification and general classification of DIA civilian personnel.
2. Fix rates of pay for wage rate employees exempted from the Classification Act by 5 U.S.C. § 5102 (reference (f)), on the basis of rates established under the Coordinated Federal Wage System. DIA, in fixing such rates, shall follow the wage schedule established by the DoD Wage Fixing Authority.
3. Establish such advisory committees and employ such part-time advisers as approved by the Secretary of Defense for the performance of DIA functions pursuant to the provisions of 10 U.S.C. § 173, 5 U.S.C. § 3109(b), and the agreement between the DoD and the Civil Service Commission on employment of experts and consultants, dated March 14, 1975.
4. Administer oaths of office incident to entrance into the Executive Branch of the Federal Government or any other oath required by law in connection with employment therein, in accordance with the provisions of 5 U.S.C. § 2903(b) and designate in writing, as may be necessary, officers and employees of DIA to perform this function.
5. Establish a DIA Incentive Awards Board and pay cash awards to and incur necessary expenses for the honorary recognition of civilian employees of the Government whose suggestions, inventions, superior accomplishments, or other personal efforts, including special acts or services, benefit or affect DIA or its subordinate activities in accordance with the provisions of 5 U.S.C. § 4503 and applicable Civil Service Regulations.
6. In accordance with the provisions of 5 U.S.C. § 7532; Executive Order 10450 (reference (g)); and DoD Directive 5210.7 (reference (h)):
 - a. Designate any position in DIA as a "sensitive" position;
 - b. Authorize, in case of an emergency, the appointment to a sensitive position in the DIA for a limited period of time of a person for whom a full field investigation or other appropriate investigation, including the National Agency Check, has not been completed; and

in the interest of national security in positions
in accordance with the provisions of DoD Directive 5210.8
(reference (i)) and Executive Order 11652 (reference (j)).

8. Act as agent for the collection and payment of employment taxes imposed by Chapter 21 of the Internal Revenue Code of 1954, as amended; and as such agent, make all determinations and certifications required or provided for under section 3122 of the Internal Revenue Code of 1954, as amended, and section 205(p)(1) and (2) of the Social Security Act, as amended (42 U.S.C. § 405(p)(1) and (2)) with respect to DIA employees.
9. Authorize and approve overtime work for DIA civilian officers and employees in accordance with the provisions of subchapter V, Chapter 55, title 5, U.S. Code, and applicable Civil Service Regulations.
10. Authorize and approve:
 - a. Travel for DIA civilian employees in accordance with the Joint Travel Regulations, Volume 2, Department of Defense Civilian Personnel.
 - b. Temporary duty travel for military personnel assigned or detailed to DIA in accordance with Joint Travel Regulations, Volume I for Members of the Uniformed Services.
 - c. Invitational travel to persons serving without compensation whose consultive, advisory, or other highly specialized technical services are required in a capacity that is directly related to or in connection with DIA activities, pursuant to the provisions of 5 U.S.C. § 5703.
11. Approve the expenditure of funds available for travel by military personnel assigned or detailed to DIA for expenses incident to attendance at meetings of technical, scientific, professional or other similar organizations in such instances when the approval of the Secretary of Defense or his designee is required by law (37 U.S.C. § 412, 5 U.S.C. § 4110 and 4111).
12. Develop, establish, and maintain an active and continuing Records Management Program, pursuant to the provisions of section 506(b) of the Federal Records Act of 1950 (44 U.S.C. § 3102).

- in newspapers, magazines, or other public periodicals as required for the effective administration and operation of DIA (44 U.S.C. § 3702).
15. Establish and maintain appropriate Property Accounts for DIA, and appoint Boards of Survey, approve reports of survey, relieve personal liability, and drop accountability for DIA property contained in the authorized Property Accounts that has been lost, damaged, stolen, destroyed, or otherwise rendered unserviceable, in accordance with applicable laws and regulations.
 16. Promulgate the necessary security regulations for the protection of property and places under the jurisdiction of the Director, DIA, pursuant to subsection III.A. and V.B. of DoD Directive 5200.8 (reference (1)).
 17. Establish and maintain, for the functions assigned, an appropriate publications system for the promulgation of regulations, instructions, and reference documents, and changes thereto, pursuant to the policies and procedures prescribed in DoD Directive 5025.1 (reference (m)).
 18. Enter into support and service agreements with the Military Departments, other DoD components, or other Government agencies as required for the effective performance of responsibilities and functions assigned to DIA.
 19. Exercise the authority delegated to the Secretary of Defense by the Administrator of the General Services Administration with respect to the disposal of surplus personal property.

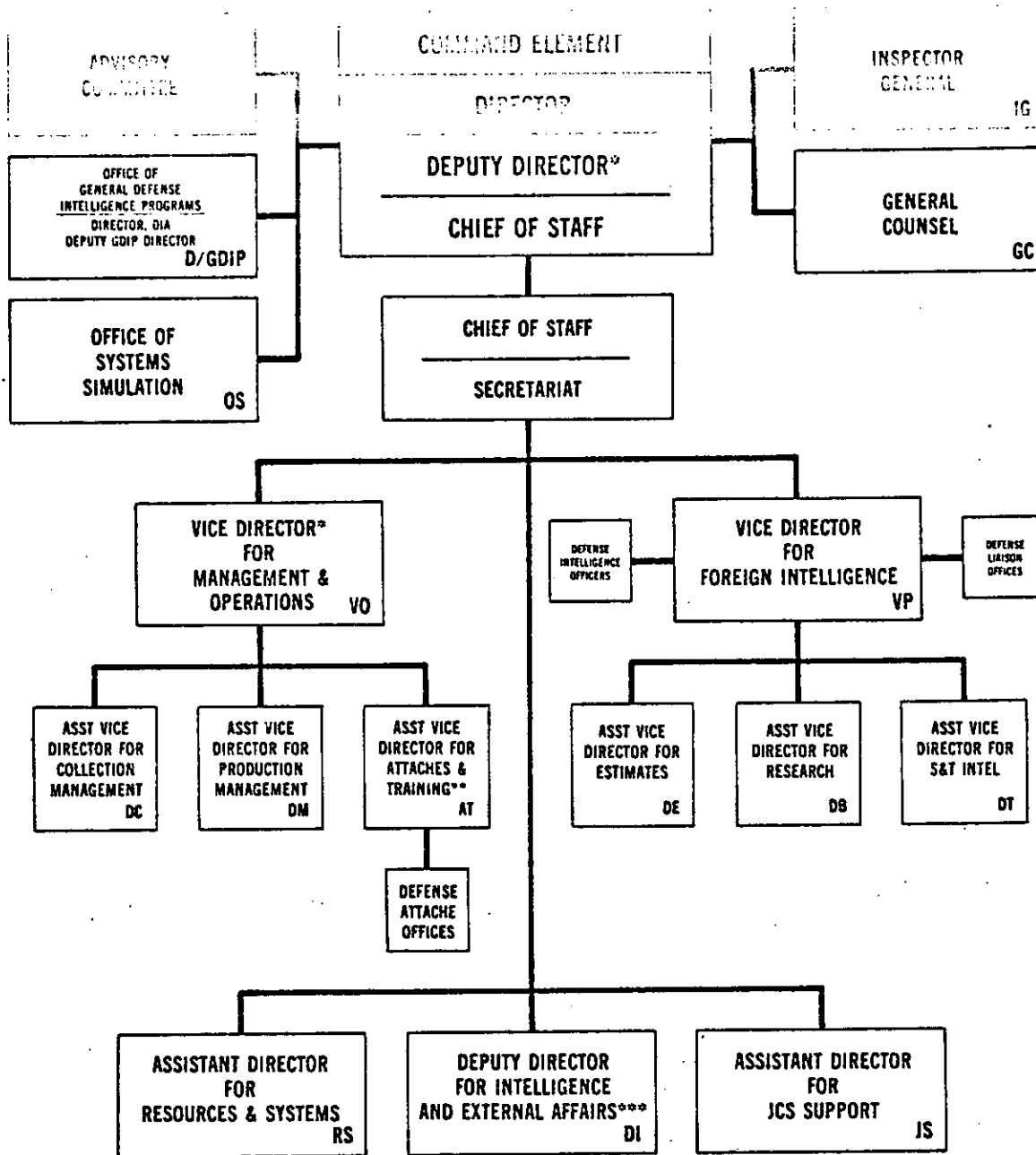
The Director, DIA, may redelegate these authorities, as appropriate, and in writing, except as otherwise specifically indicated above or as otherwise provided by law or regulation.

These delegations of authority are effective immediately.

Harold Brown
Secretary of Defense

**ORGANIZATION
AND
FUNCTIONS**

- Vice Director for Management and Operations
- Deputy Director for Intelligence and External Affairs.
- Assistant Director for JCS Support
- Assistant Director for Resources and Systems



* Deputy Director also serves as VO

** Assistant Vice Director for Attaches and Training also acts as Deputy VO

*** Deputy Director for Intelligence and External Affairs also serves as Senior Intelligence Advisor to the Director

• Support DoD and national level planners, decisionmakers, and executive elements by producing on a worldwide basis all-source finished basic military intelligence, scientific and technical intelligence and all DoD intelligence estimates and DoD contributions to National Estimates.

• Defense Intelligence Officers interface with National Intelligence Officers (NIOs) in substantive matters of prime interest to the DoD and the JCS to ensure effective and coordinated Defense inputs to national intelligence.

• Develop and produce DIA contributions to National Intelligence Estimates (NIEs), Special National Intelligence Estimates (SNIEs), and other national intelligence estimative papers within the purview of the NFIB, and to NSC requirements levied through NFIB.

• Provide intelligence support to the Under Secretary of Defense for Research and Engineering (USDRE) and the Defense System Acquisition Review Council (DSARC) for the DoD system acquisition process.

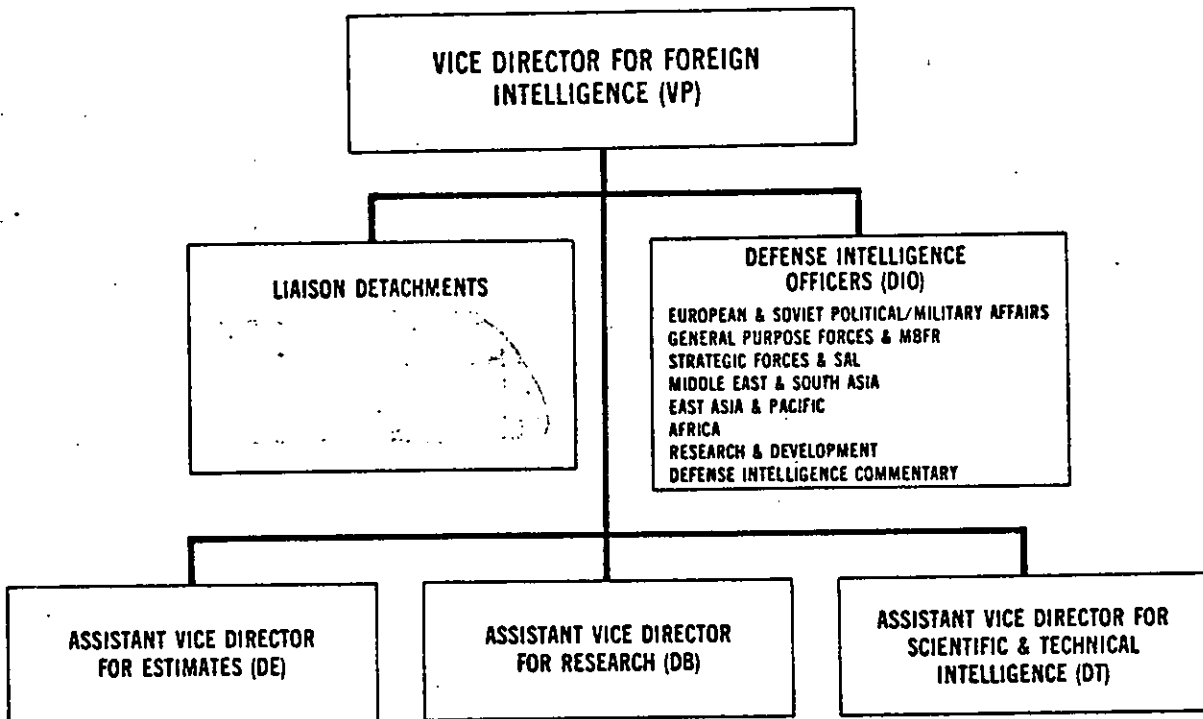
• Produce all-source finished military intelligence on orders of battle, military doctrine, strategy, and tactics, C³, equipment and logistics, biographics, economics, and materiel production and assistance programs.

• Exploit multisensor imagery and produce imagery-derived intelligence. Participate in the National Photographic Interpretation Center (NPIC) and the development of exploitation equipment.

• Review and validate requirements and establish production priorities for S&T intelligence; develop, manage, and technically direct the DoD-wide production program.

• Formulate target intelligence policy and plans. Perform physical vulnerability research and bomb damage assessment.

DIRECTORATE FOR FOREIGN INTELLIGENCE



UNCLASSIFIED

• Manage and coordinate all source selection and processing activities in DoD including HUMINT, Imagery, SIGINT and Technical Sensors. Manage and coordinate Defense imagery processing and exploitation activities. Provide a single DIA focus for coordination and support of National and departmental reconnaissance activities.

• Manage the DoD general intelligence production function, orchestrate the production of both General Defense Intelligence Program and non-General Defense Intelligence Program processing/production organizations.

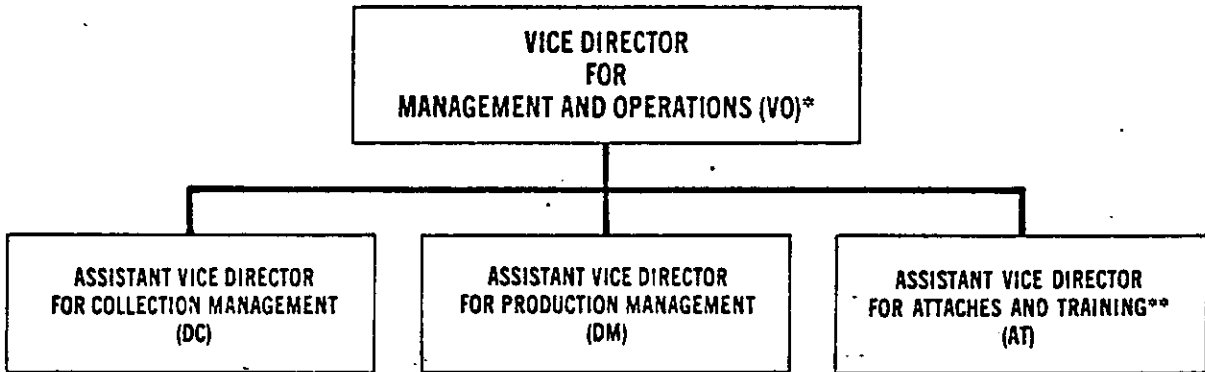
• Assess the source and priority of production requirements; levels of required effort; capabilities and activities; and the relationship between resources, output, and consumer satisfaction.

• Direct, supervise and manage the Defense Intelligence System.

• Plan and operate a career development program for civilian General Intelligence personnel in DoD. Review and coordinate career development programs for military General Intelligence personnel of the Military Departments.

• Educate and train selected DoD military and civilian personnel at the Defense Intelligence School in preparation for the performance of command, staff and policymaking positions in the DoD, National and International intelligence structures.

DIRECTORATE FOR MANAGEMENT AND OPERATIONS



* Deputy Director also serves as VO

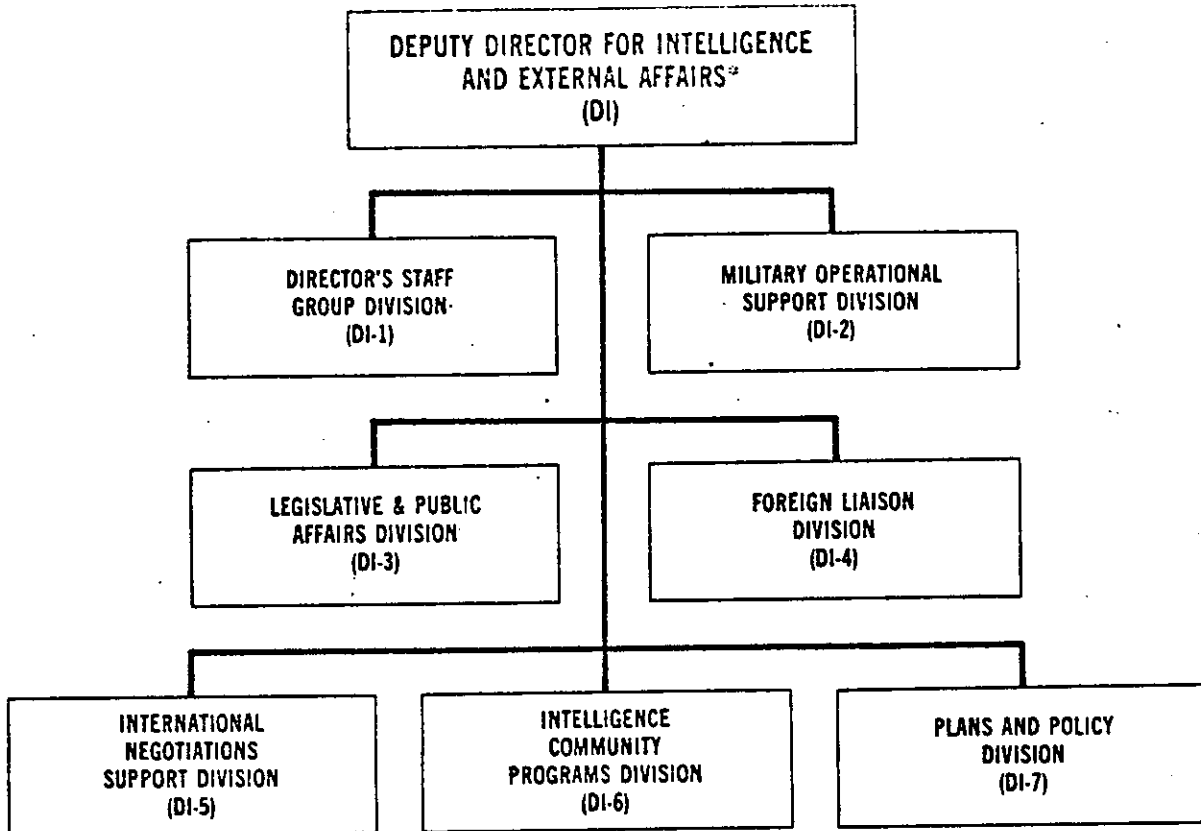
** Assistant Vice Director for Attaches and Training also acts as Deputy VO

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- Provide a single DIA focus point for the needs and concerns of DIA customers by providing substantive products and services to the Secretary of Defense as well as other principals in OSD and the NSC Staff.
- Participate in and support National Foreign Intelligence Program and Intelligence Community matters.
- Inform the Congress of Defense intelligence assessments and resource requirements on major issues confronting key House and Senate committees.
- Establish the policy, planning and programmatic basis for Defense intelligence activities.
- Provide Defense intelligence support to international teams involved in arms negotiations.
- Formulate Defense intelligence plans and policy and provide intelligence on U.S. POW/MIA personnel.
- Support and interact with U&S Commands, emphasizing direct liaison and national system support.
- Maintain foreign intelligence liaison, effect foreign disclosure, and foster foreign military exchanges and relationships.

DIRECTORATE FOR INTELLIGENCE AND EXTERNAL AFFAIRS



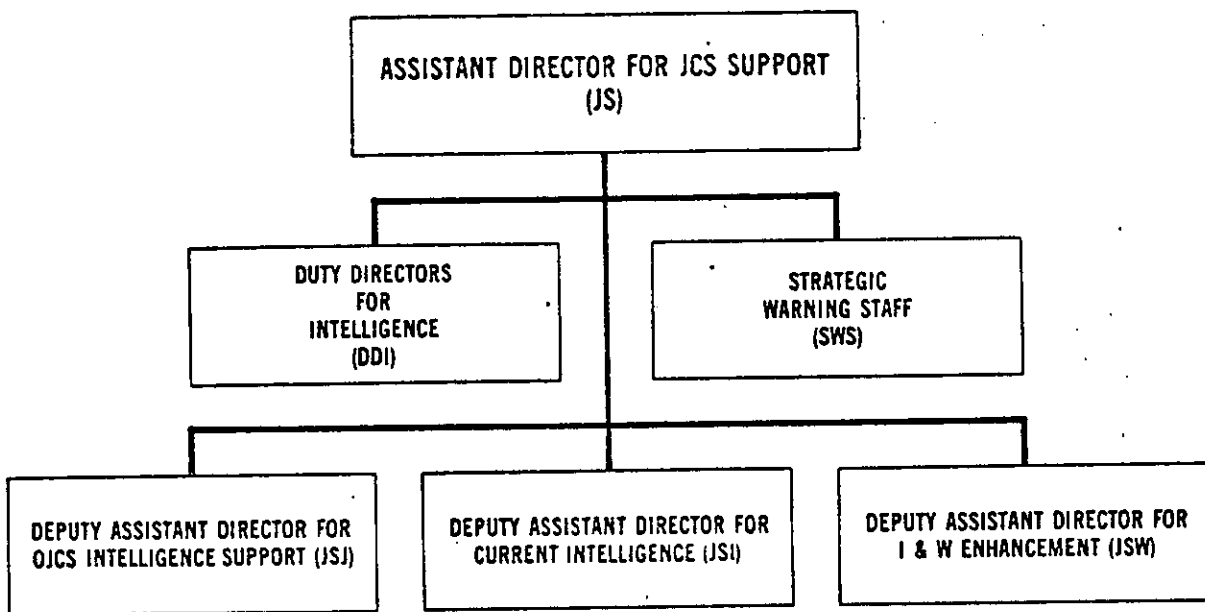
* Deputy Director for Intelligence and External Affairs also serves as Senior Intelligence Advisor to the Director.

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Functions

- Provide the DoD and non-DoD with current indication and warning intelligence. Operate the NMiC Alert Center on a 24-hour basis and provide intelligence support and presentation to the National Military Command System (NMCS). Interface with DoD and non-DoD agencies on operational indications and warning matters.
- Serve as the DIA focal point for the Joint Staff. Maintain close relationships with all offices of the Organization of the Joint Chiefs of Staff (OJCS). Insure prompt and responsive DIA participation and support in intelligence matters.
- Provide briefings on current intelligence to the SecDef, CJCS, and other Defense officials.
- Oversee the upgrade of the National Military Intelligence Center Indications System, improvement of the System's interface with consuming and producing entities; supervise the DoD Indications and Warning System and monitor its upgrade, to include the development of new methodologies and techniques to improve I&W performance and develop concepts to improve it.

DIRECTORATE FOR JCS SUPPORT

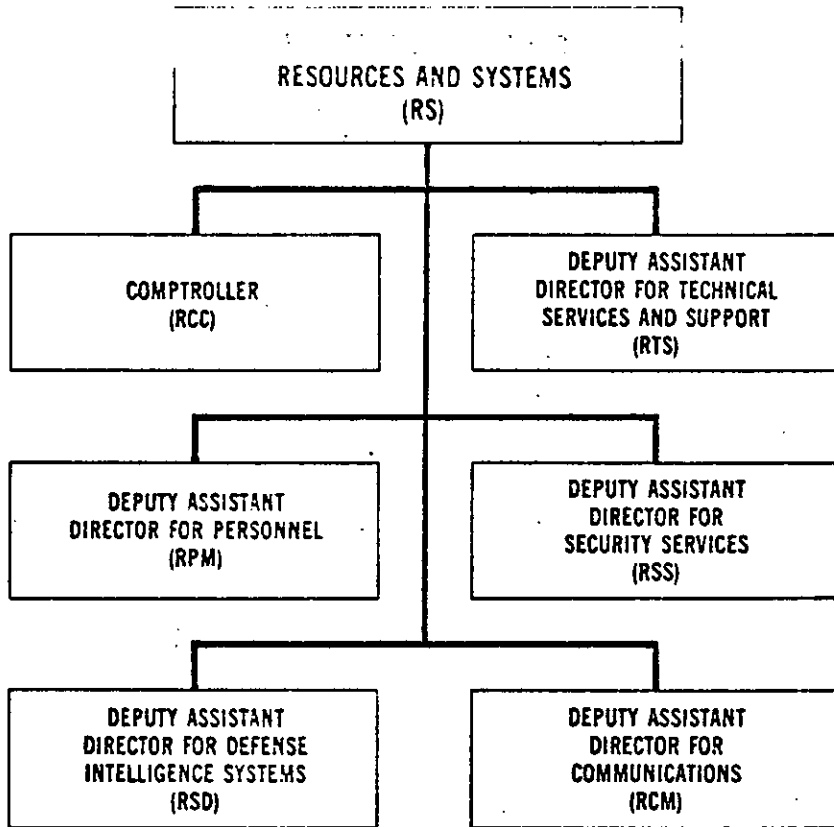


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... provide financial management services for the development, acquisition, and management of the Agency's program management, ASD(CP), ASD(CY), OMB, Intelligence Community Staff (ICS), and Congressional committees. Provide financial management services for the development, acquisition, and management of the Agency, management analysis and cost analysis.

- Provide DIA and related DoD intelligence activities with production support to include:
 - Document research and reference library services
 - Photographic laboratories and imagery coverage analysis
 - Intelligence document dissemination and translation services
 - Printing and graphics support
 - Engineering and specialized management support services
- Direct the development and implementation of DIA policies, procedures and programs for the personnel management of military and civilian members.
- Provide counterintelligence and counterterrorist information, staff support, and liaison for OSD, OJCS, agencies under JCS cognizance and the Defense Attache System. Develop and administer the Agency's physical, information, document and personnel security programs; manage DoD sensitive compartmented information (SCI) programs.
- Provide overall management of the worldwide Special Intelligence Communications (SPINTCOMM) portion of the Defense Special Security Communications System (DSSCS). Operate and maintain telecommunications and distribution facilities and provide compartmented intelligence support to OSD, OJCS, DIA, U.S. Army, U.S. Air Force and other Defense agencies
- Manage and coordinate all DoD intelligence information systems programs and the interface of such systems with community and DoD systems. Provide mid- and long-range systems planning and maintain a mid- and long-range Defense intelligence information systems Master Plan.
- Plan, develop, design, implement and test Agency intelligence information and telecommunication system support capabilities. Operate Agency intelligence information subsystems including all computer equipment and facilities.

DIRECTORATE FOR RESOURCES AND SYSTEMS



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PERSONNEL

B

LOCATIONS/FACILITIES

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WASHINGTON, D.C.
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SYSTEM

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HISTORY

ACCOMPLISHMENTS

E

DEFENSE MAPPING AGENCY

The attached documents were provided to the Carter-Reagen Transition team by the Defense Mapping Agency. No documents have been withheld.



ORGANIZATION

BRIEFING

BOOK

December
1980

The Defense Mapping Agency

U.S. Naval Observatory, Bldg. 56, 34th & Mass. Avenues, N.W.,
Washington, D.C. 20305

1/20
Encl 1

SECTION I

ORGANIZATIONAL STRUCTURE, FUNCTIONS AND PERSONNEL

THE DEFENSE MAPPING AGENCY (DMA)

A. An Introduction

The Agency was established in 1972 to provide mapping, charting, and geodetic (MC&G) support to the Armed Forces and all other national security operations. DMA also serves the needs of the U.S. Merchant Marine worldwide and of navigators generally on the high seas.

The approximately 8,500 people of the Agency are situated in forty locations around the world. They provide a wide variety of maps and charts and information about the size and shape of the earth needed for aerospace and ocean navigation and for the tactical and strategic operations of the Armed Forces. DMA has cooperative mapping agreements with more than fifty nations for the mutual exchange of MC&G information.

More than half of DMA's production is other than conventionally printed maps and charts, including products on film and magnetic tape for use in specialized machine-reading equipment. DMA materials are used extensively in support of the Nation's weapon systems, aerospace and ocean navigation trainers and for experimental purposes in deriving new items to satisfy valid MC&G needs. Scientific data and information affecting the safe passage of vessels and aircraft throughout the Free World are exchanged with the civil community and countries with navigational interests.

B. Organizational Structure

DMA is a separate DoD agency under the direction, authority, and control of the Under Secretary of Defense for Research and Engineering. The Director of DMA is responsible to the Joint Chiefs of Staff (JCS) for operational

matters within their cognizance, as well as requirements associated with the joint planning process. The Chairman of JCS is authorized to task and communicate directly with DMA.

The Director of DMA is program manager and coordinator of all DoD MC&G resources, including Army and Marine topographic units and Navy hydrographic survey resources not assigned to DMA. Under the 1972 charter establishing DMA, the Director is also responsible for managing MC&G research, development, test and evaluation for the Department of Defense.

DMA maintains close alliance with civilian agencies in the U.S. Government engaged in MC&G activities, and works closely with various national and international scientific and operational organizations in the MC&G field.

The Agency is organized into a Headquarters and five components. The Headquarters is at the U.S. Naval Observatory, Washington, D.C. The five components consist of two production centers, a distribution office, a school, and a special component, the Inter American Geodetic Survey.

The Aerospace Center (DMAAC) with headquarters in St. Louis, Missouri, has about 3,700 people charged with the responsibility for products and services for aerospace weapon systems and flight navigation.

The 3,900 people of the Hydrographic/Topographic Center (DMAHTC) with headquarters at Brookmont, Maryland, are primarily concerned with products and services that support land combat and naval weapon systems. The Center also carries out statutory responsibilities for providing nautical products to mariners in general.

The Office of Distribution Services (ODS) at Brookmont, Maryland, and 12 other facilities, including two large distribution centers, provide DMA products to users. This distribution function employs approximately 400 people, who are organized to move quickly into shift operation for crisis deliveries night or day. Some DMA products are also available to the public through authorized sales agents and the National Ocean Survey.

DMA operates the Defense Mapping School (DMS) at Fort Belvoir, Virginia, with approximately 190 civilian and military personnel. The school provides technical training to members of the Military Services in MC&G-related skills.

DMA's Inter American Geodetic Survey (IAGS), headquartered at Fort Sam Houston in San Antonio, Texas, is responsible for a cooperative mapping and charting program conducted jointly with the national mapping agencies in Latin America. IAGS operates a cartographic school in the Panama Canal area to assist Latin American cartographic agencies in the training of their production personnel. IAGS has about 100 people working throughout Central and South America. Through this program many DoD MC&G products are provided at a fraction of the cost that would otherwise be incurred for DMA to produce. Such programs also enhance the national security of the participating Latin American countries.

C. Functions

DMA's mission is to provide the Armed Forces the maps, charts, and geodetic products, data, and services essential to military operations and planning, including safe and accurate land, sea, and air navigation. Products, such as digital topographic data, are becoming an integral part of strategic and tactical weapons systems and are vital to their effectiveness. In fact, accurate, current, and timely DMA products are needed for every conceivable type of military operation. The soldier and marine depend upon DMA topographic

maps and combat charts; air crews depend upon DMA aerial navigation charts and flight information publications; naval forces depend upon DMA nautical charts and navigational publications. Weapon Systems depend upon DMA's precise positioning of launch and target points, modeling of gravity effects on missiles, and development of accurate terrain elevation and vertical obstruction data. DMA also has a statutory responsibility to support the civil maritime community with up-to-date and adequate navigational materials. DMA's major functions can be summarized as follows:

1. Advise the Secretary of Defense and the Joint Chiefs of Staff on MC&G matters.
2. Manage the DMA and non-DMA/DoD/MC&G resources.
3. Collect MC&G data worldwide.
4. Produce and distribute maps, charts, and related data worldwide.
5. Maintain the Department of Defense libraries of MC&G data.
6. Advise DoD research and development agencies on the need for MC&G basic research and exploratory development.
7. Conduct MC&G research and development programs in advanced and engineering development phases.

D. Personnel

A summary of manpower and strengths and man-years for DMA is as follows:

1. End Strength:

	<u>1980</u>	<u>1981</u>	<u>1982</u>
Military	444	444	444
Civilian	<u>8,039</u>	<u>8,130</u>	<u>8,244</u>
TOTAL	8,483	8,574	8,688

2. Man-Years:

Military	444	444	444
Civilian	<u>8,017</u>	<u>8,227</u>	<u>8,338</u>
TOTAL	8,461	8,671	8,782

Manpower Authorizations for FY 1981 are Provided by

DMA Component and Geographical Location

<u>Component/Location</u>	<u>FY 1981</u>		<u>Total</u>
	<u>Military</u>	<u>Civilian</u>	
<u>HQ DMA</u>			
Washington, D.C.	36	152	188
Los Angeles, California	1	--	1
TOTAL	37	152	189
<u>DMAAC</u>			
St. Louis, Missouri	44	3,427	3,471
London, England	--	1	1
Jakarta, Indonesia	--	1	1
Houston, Texas	--	2	2
Washington, D.C.	--	5	5
Wright Patterson AFB, Ohio	1	--	1
Quincy, Illinois	--	1	1
Los Angeles, California	--	1	1
Kansas City, Missouri	1	196	197
TOTAL	46	3,634	3,680
<u>DMAHTC</u>			
Brookmont, Maryland	50	2,841	2,891
Feltham, England	1	--	1
Canberra, Australia	1	--	1
Bay St. Louis, Mississippi	1	--	1
Dakar, Senegal	--	1	1
Tokyo, Japan	--	2	2
New Orleans, Louisiana	--	1	1
New York, New York	--	1	1
Omaha, Nebraska	--	5	5
El Segundo, California	--	1	1
Louisville, Kentucky	1	257	258
Providence, Rhode Island	1	271	272
San Antonio, Texas	1	239	240
F. E. Warren AFB, Wyoming	82	76	158
Vandenburg AFB, California	12	4	16
White Sands, New Mexico	2	40	42
Patrick AFB, Florida	5	5	10
TOTAL	157	3,744	3,901
<u>DMS</u>			
Ft. Belvoir, Virginia	128	68	196
<u>IAGS</u>			
San Antonio, Texas	7	59	66
Panama	2	44	46
Other Latin American Countries	2	36	38
TOTAL	11	139	150

FY 1981 Manpower Authorizations by Geographic Location
(Continued)

<u>Component/Location</u>	<u>FY 1981</u>		<u>Total</u>
	<u>Military</u>	<u>Civilian</u>	
<u>DMAODS</u>			
Brookmont, Maryland	6	185	191
Clearfield, Utah	--	74	74
Philadelphia, Pennsylvania	--	98	98
Mainz-Kastel, Germany	16	5	21
Molesworth, England	3	--	3
Naples, Italy	4	--	4
Norfolk, Virginia	5	2	7
Jacksonville, Florida	1	3	4
San Diego, California	4	2	6
Hickam AFB, Hawaii	8	21	29
Cubi Point, Philippines	7	--	7
Atsugi, Japan	7	--	7
Panama	4	3	7
TOTAL	<u>65</u>	<u>393</u>	<u>458</u>
<u>SUMMARY</u>			
HQ DMA	37	152	189
DMAAC	46	3,634	3,680
DMAHTC	157	3,744	3,901
DMS	128	68	196
IAGS	11	139	150
DMAODS	<u>65</u>	<u>393</u>	<u>458</u>
TOTAL	<u>444</u>	<u>8,130</u>	<u>8,574</u>

SECTION II

IMMEDIATE MAJOR ISSUES

DMA has no major issues that must be faced by the new administration immediately or soon after 20 January 1981.

SECTION III

PROGRAM SUMMARIES

- TAB A Budget
- TAB B Support to Major Weapon Systems
- TAB C Cruise Missile
- TAB D RDJTF
- TAB E PERSHING II
- TAB F MX
- TAB G Terrain Analysis
- TAB H FIREFINDER
- TAB I Crisis Support
- TAB J International Agreements
- TAB K Research and Development

TAB A

BUDGET

In the aggregate for O&M, Procurement, RDT&E, and Military Construction, DMA has requested \$369 million for fiscal year 1982. This is an increase of \$25 million over the fiscal year 1981 request of \$344 million. Of the increase, approximately \$11 million is for statutory pay increases and inflation. The remaining \$14 million reflects net program growth to improve military force readiness; support the special requirements of the Rapid Deployment Force; enable DMA to accomplish currently approved production programs in support of such weapon systems as the Cruise Missile, FIREFINDER, and Pershing II; and provide Terrain Analysis data to operational commanders. Provision is also made for the production of digital data needed by mission planners to construct optimum flight routes for air space penetration to target areas and to support training for air crews in flight simulators. In addition, the increase supports the initiation of research and development efforts required to meet the accuracy goal for the MX missile system. An appropriation summary follows.

<u>FUNDING</u> (Dollars in Millions)	<u>FY 1980</u>	<u>FY 1981</u>	<u>FY 1982</u>
Appropriation:			
Operation and Maintenance	\$ 267	\$ 297	\$ 323
Procurement	18	25	9
RDT&E	20	20	26
Military Construction	<u>1</u>	<u>2</u>	<u>11</u>
TOTAL	\$ 306	\$ 344	\$ 369

TAB B

SUPPORT TO MAJOR WEAPON SYSTEMS

The following chart reflects the type of support DMA is providing to major weapon systems.

	<u>PRECISE POSITIONS</u>	<u>DIGITIZED TERRAIN</u>	<u>DIGITIZED CULTURE</u>	<u>MAPS/CHARTS</u>
MINUTEMAN	X			X
POSEIDON/TRIDENT	X			X
Cruise Missile	X	X		X
SRAM	X			X
PERSHING	X	X	X	X
F-111	X	X	X	X
A-6	X	X	X	X
E-2C	X	X	X	X
EA-6B	X	X	X	X
B-52	X	X	X	X
C-130	X	X	X	X
F-16	X	X	X	X
FIREFINDER	X	X		X
AWACS		X		
LORAN	X	X		X
Ground Radar	X	X		X

TAB C

CRUISE MISSILE

We are on schedule with production of the two basic types of digital data for the cruise missile. The first of these, the Digital Terrain Elevation Data (DTED), will be used for missile route penetration planning to the target. The second type, Terrain Contour Matching (TERCOM) data, is similar to DTED but much more detailed for use in missile guidance. TERCOM is produced for selected areas and is used in the missile's on-board computer to update the inertial guidance system to assure accurate penetration to the target. The Vertical Obstruction Data (VOD) portion of support to the Cruise Missile Program is needed for low level penetration of air defenses. This effort is in the development phase. We have completed hiring and training the 160 employees authorized by the Congress for the task. VO data are being produced to support tests and analyses by the Joint Cruise Missile Project Office and the Joint Strategic Target Planning Staff that will better define DMA capabilities, VOD product specifications and area requirements. Regular production of VOD will commence in April 1981.

RAPID DEPLOYMENT JOINT TASK FORCE (RDJTF)

Since the organization of the Rapid Deployment Joint Task Force, extensive mapping and charting shortfalls were recognized in the RDJTF areas of interest. DMA has the responsibility to provide support to all U.S. military organizations, thus it has the responsibility to support the RDJTF with map and chart products. DMA, with special provision of resources from OSD, is already providing the RDJTF with maps of various scales, aeronautical and nautical charts, and other items. The entire RDJTF map and chart requirement is programmed and scheduled to be satisfied by 1986. The FY 81 budget request provides DMA additional resources, including 150 civilian positions, to produce those MC&G products urgently required to support RDJTF objectives.

TAB E

PERSHING II

The PERSHING II (P-II) missile will feature a radar terminal guidance capability. A digital pregenerated radar scene of the target area will be correlated with the actual scene produced by the missile's radar to determine the missile's location. This information is used by the guidance system to correct the vehicle trajectory in its terminal phase and guide the missile to the target with a high degree of accuracy. DMA will generate reference scenes for preplanned targets using the PERSHING II Reference Scene System (PRESS). Reference scenes for non-preplanned targets will be generated in the field by the Reference Scene Generation Facility (RSGP) using Operational Data Bases (ODB's) produced by DMA.

DMA will support the PERSHING II system in both the Test and Evaluation (T&E) and operational phase. Support in the T&E phase will consist of the following:

1. Experimental reference scenes and ODB for laboratory testing, captive flight tests, and live missile flights.
2. Surveying support for the Huntsville Test Area, North Carolina Test Area, North East Test Area, and White Sands Missile Range.
3. Associated Mapping, Charting and Geodesy (MC&G) products and services as identified by the PERSHING II Project Management Office.

Support in the operational phase will consist of supplying reference scenes for preplanned targets, operational data bases for the entire PERSHING II operational area, and point positioning data bases for the precise location of non-preplanned targets.

MX

The Missile-X (MX), currently to be deployed in CY 86 in the Nevada-Utah-Arizona area, will require DMA to provide geodetic and gravity survey support, Earth Gravity Model (EGM) development, Launch Region Gravity Model (LRGM) development and improved target positioning.

A preliminary assessment of MX survey requirements has been made. Geodesy and Geophysics (G&G) accuracy/trade-off studies have been completed and a preliminary DMA MX G&G Support Plan is in development. DMA's MX support has included assistance in launch areas and site determination studies, and improved techniques for geodetic and geophysical measurement.

Current support of MX includes gravity surveys for site validation/selection and preliminary gravity field modeling. DMA is currently programming to provide the necessary support consistent with the currently postulated accuracy requirements and system availability schedule.

TAB G

TERRAIN ANALYSIS

The DMA FY 81 budget request includes resources approved by the Secretary of Defense to transfer total responsibility for production of terrain analysis data from the Defense Intelligence Agency to DMA. The resources will enable DMA to support the battlefield commander with both a comprehensive thematic data base showing soils, vegetation, inland hydrography, and surface materials and standard terrain analysis products associated with mobility and visibility on the battlefield.

FIREFINDER

FIREFINDER is an Army-developed system consisting of artillery and mortar locating radars designed to detect the trajectories of multiple incoming artillery and mortar rounds and, in near real time, accurately determine the location of the weapons that are firing. These locations, then, are processed for immediate counterfire, as appropriate. The Army will deploy both radar systems while the Marine Corps will use the shorter range mortar locating radar alone. The Army has programmed approximately one billion dollars for RDTE and procurement for the system.

DMA's MC&G support to FIREFINDER consists of digitized terrain elevation data (DTED) used by the radar's computer to determine the precise location of the weapon being fired. The use of digital data eliminates human error and significantly speeds up the weapon location process. The total cost of DMA support in FY 82-86 will be approximately 15 million dollars and 400 man-years of effort.

TAB I

CRISIS SUPPORT

During the past year, DMA has prepared and provided emergency MC&G products to support DoD elements dealing with crisis situations. Past responses have been completed in time frames of two (2) hours to thirty (30) days as dictated by the urgency of the crisis. DMA support to the hostage situation in Iran was the most intensive and prolonged of any such situation in recent history.

Listed below are samples of crisis support requests received and serviced by DMA over the past year:

- Iran - Joint Chief of Staff (JCS)
- National Military Intelligence Center (NMIC)
- Military Airlift Command (MAC)
- European Command (EUCOM)

- Nicaragua - National Military Intelligence Center (NMIC)
- Readiness Command (REDCOM)
- Southern Command (SOUTHCOM)

- El Salvador - National Military Intelligence Center (NMIC)
- Southern Command (SOUTHCOM)

INTERNATIONAL AGREEMENTS

Defense Mapping Agency has exchange agreements, cooperative agreements, exchanges under the International Hydrographic Organization, and/or facsimile reproduction exchange agreements with 78 countries.

The term Exchange Agreement, as used by DoD, implies an exchange of information and maps or charts. Usually, a small number of maps or charts are exchanged gratis. Other maps, charts and publication materials are exchanged, most often on a quid-pro-quo or reimbursement basis. It may include sharing of MC&G production programs.

The term Cooperative Agreement is used to further define DoD/DMA MC&G agreements and implies mutual programming, sharing of work and end products, establishing U.S. MC&G operations in the host country, and, usually, common use of products by the U.S. and the country concerned. Upon cessation of cooperative terms, map exchange items usually continue.

Nautical charts of many foreign countries are obtained by the Defense Mapping Agency through agreements established under the sponsorship of the International Hydrographic Organization (IHO), in Monaco. In addition, facsimile reproduction exchange agreements are maintained with a number of countries, including some members and non-members of the IHO.

DMA has been invited by the People's Republic of China (PRC) to send a delegation to visit several PRC mapping institutions. A three-man delegation from DMA will be hosted by the PRC National Bureau of Surveying and Mapping (NBSM) on a 10-day visit in December 1980, including the Guangdong Provincial

Bureau of Surveying and Mapping, the Wuhan College of Geodesy, Photogrammetry and Cartography, and the NBSM Center in Beijing. One purpose of the visit is to discuss areas for possible cooperation in the exchange of mapping, charting and geodetic products.

TAB K

RESEARCH AND DEVELOPMENT

Our R&D objectives are to improve DMA's capability to collect essential data, to fully exploit available and new source materials, to improve product accuracies, to decrease response time for MC&G support, and to continue automating many of our labor intensive production processes. The R&D program is structured to achieve a balanced effort toward meeting these objectives with emphasis on exploiting technological developments in areas of potential high payoff. Total funding remains relatively level between fiscal years 1980 and 1981. A major driver in the R&D program is the development of ground and satellite receivers that use GPS for accurate and rapid DMA point position surveys and satellite positioning. DMA's products are becoming a more significant and integral part of emerging advanced weapons systems. To meet these new technological requirements and need dates, a major R&D thrust is the development of digital technologies for timely exploitation of source material.

17 DEC 1980

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MEMORANDUM FOR DEPUTY ASSISTANT SECRETARY OF DEFENSE (ADMINISTRATION)

SUBJECT: Request for Information

Reference: Your memorandum dated November 25, 1980, subject as above.

Attached at Enclosures 1 and 2 is the information requested in your memorandum. Enclosure 1 addresses personnel data requested in paragraphs 4 thru 7, Tab A, your memorandum. Enclosure 2 addresses data also requested in Tab A under paragraphs 3, 5, 8, and 9 in the budget, program, and general information categories.

CM

FOR THE DIRECTOR:

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2 Enclosures a/s

SIGNED

CLARK T. LEHMANN
Colonel, USA
Chief of Staff

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FOR FILING TO:

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PERSONNEL¹

Items 1, 2, and 3. Information to be provided by the OSD Staff.

Item 4. No SES personnel have been hired since 1 November 1980. DMA anticipates hiring two SES personnel prior to 21 January 1981. The proposed selections have been approved by OSD and are awaiting approval of managerial qualifications by OPM. The proposed SES selections are: William P. Durbin, to be Assistant Deputy Director for Plans and Requirements, Headquarters DMA, Washington, D.C. and Thomas O. Seppelin, to be Deputy Director for Programs, Production and Operations, DMA Aerospace Center, St. Louis, Missouri.

Item 5. HQ DMA has not hired any experts or consultants since 1 November 1980 and does not anticipate hiring any prior to 21 January 1981.

Item 6. HQ DMA has no contract identified as consulting services in Budget Exhibit PB-21.

Item 7. Following is the on-board strength data requested for HQ DMA:

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>	<u>Position Vacancies</u>
M/I	35	38	32	36	1
Civ (FTP)	<u>137</u>	<u>139</u>	<u>131</u>	<u>140</u>	<u>6</u>
Total	172	177	163	176	7

Items 8 and 9. Information to be provided by the OSD Staff.

1

BUDGET, PROGRAM & GENERAL INFORMATION

Items 1 and 2. Information will be provided by the OSD Staff.

Item 3. The budget information requested for DMA is listed below:

<u>Funding</u>	<u>FY1980</u>	<u>FY1981</u>
	(\$ in Thousands)	
O&M		
Civilian Personnel	\$195,069	\$216,023
Travel	3,360	4,275
Transportation of Things	3,163	3,143
Utilities and Rents	10,203	11,269
Communications	4,724	5,035
Purchased Equipment Maintenance	2,348	3,590
Printing and Reproduction	5,721	7,303
Other Purchased Services	28,197	30,343
Supplies	12,720	15,514
Equipment	744	850
TOTAL	<u>\$266,249</u>	<u>\$297,345</u>
Procurement	18,479	25,324
R&D	20,012	20,172
Mil Con	825	1,500
Family Housing	<u>37</u>	<u>28</u>
	\$305,602	\$344,369

NOTE: The data shown above is the FY80 and FY81 columns of the FY 1982 Basic Budget Request except for the FY 1980 O&M and Family Housing data which reflects actual obligations.

Item 4. Information will be provided by the OSD Staff.

Item 5. DMA is not involved in establishing rules or similar regulatory type actions.

Item 6 and 7. Information will be provided by the OSD Staff.

Item 8. DMA has not issued any environmental impact statements in either draft or final form since 1 November 1980 and does not expect to issue any prior to 30 June 1981.

Item 9. None.

Item 10 and 11. Information will be provided by the OSD Staff.

1
Numbered responses keyed to the paragraph number in the report.

CONCURRENCES

DD

DM

8 January 1981

CS

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MEMORANDUM FOR DEPUTY ASSISTANT SECRETARY OF DEFENSE (ADMINISTRATION)

SUBJECT: Request for Information

- References:
- a. DASD(A) memorandum dated November 25, 1980, subject as above.
 - b. DMA memorandum dated 17 December 1980, subject as above.
 - c. Telephone conversation of 6 January 1981 between John Wilson, ODASD(A), and Colonel Lehmann, DMA.

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Referenced telephone conversation (reference c.) requested further information from DMA regarding the number of employees in Headquarters, DMA. This information was provided in reference b., but did not break down the assigned personnel by office/directorate, as this information is not available for prior years. Since the number of assigned personnel is very close to our authorized levels, attached is the manpower authorization for the last four fiscal years by office/directorate. Position vacancies as of 31 December 1980 are also provided to permit easy transition from authorized strength to on-board strength for FY 80. These differences are representative of prior years.

FOR THE DIRECTOR:

1 Enclosure a/s

CLARK T. LEHMANN
Colonel, USA
Chief of Staff

cc:
OUSDRE (ATTN: LTC Hollander)

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TO

HQ DMA
Manpower Authorized*

<u>Organization</u>	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>	<u>Position Vacancies</u>
Director's Office					
Military	4	4	4	3	-
Civilian	4	4	4	5	-
Chief of Staff					
Military	5	5	5	7	-
Civilian	26	26	26	25	1
Comptroller's Office					
Military	1	1	1	1	-
Civilian	24	24	24	24	-
Personnel Office					
Military	2	2	1	1	-
Civilian	13	13	13	13	1
Programs, Production & Operations Directorate					
Military	10	10	9	9	1
Civilian	42	42	41	41	2
Plans & Requirements Directorate					
Military	12	12	12	12	-
Civilian	16	16	16	16	1
Systems & Techniques Directorate					
Military	5	5	5	5	-
Civilian	16	16	21	21	-
TOTAL HQ DMA					
Military	39	39	37	38	1
Civilian	141	141	145	145	5

*On-board data is not available for past years by organization within HQ DMA; hence, the authorized strength is provided.

23 December 1980

GC

MEMORANDUM FOR DEPUTY GENERAL COUNSEL, DEPARTMENT OF DEFENSE

SUBJECT: Synopsis and Status of Significant Litigation Pending in the
Defense Mapping Agency

1. In reference to your letter of 15 December 1980, enclosed please find a listing of significant lawsuits which this Agency is currently involved in and a brief chronology and synopsis of the issues involved in each.
2. Should you desire additional information regarding any of these matters, please feel free to call me at 254-4431.

FOR THE DIRECTOR:

SIGNED

Enclosures a/s

EDWARD J. OBLOY
General Counsel

DEFENSE MAPPING AGENCY
OFFICE OF GENERAL COUNSEL

SYNOPSIS AND STATUS OF SIGNIFICANT LITIGATION

George H. Lee v. General Nicholson, C.A. No. 80-1048
(D.D.C. April 25, 1980).

Title VII case. Litigation report filed 13 June 1980. Status call held 17 November 1980. Discovery has been extended to 1 March 1981 and another status call has been set for February 1981. Answers to plaintiff's interrogatories filed, defendant presently preparing interrogatories for plaintiff.

SS MAYAGUEZ - Seamen's injuries, May 12, 1975
Alfred J. Rappenecker, et al. v. USA, N.D. Cal.
Civil Nos. 76-298 WWS; 76-422 WWS; 77-565 WWS; 77-939 WWS

These are actions by former crewmen of the SS MAYAGUEZ against the United States under the Suits in Admiralty Act. Plaintiffs are seeking damages for personal injuries allegedly suffered during United States military operations in response to the seizure of the MAYAGUEZ by Cambodian gunboats on May 12, 1975. Plaintiffs are advancing two theories of liability against the Government: (1) negligence in undertaking and executing the military operation and (2) breach of a duty to warn the MAYAGUEZ of the danger of such a capture. Government witnesses were deposed the week of 10 November and the skipper, CAPT Miller was deposed 21 November. Pre-trial was held December 19, 1980 and a tentative trial date has been set for January 12, 1981 in San Francisco, CA. Enclosed are copies of the Memorandum of Opinion and Order of July 8, 1980 and a copy of the Plaintiffs and Defendants Pre-trial Statements.

Barbara J. Hobbs v. United States, C.A. No. 79-0477
(D.D.C. 14 February 1979).

Suit was filed by Barbara J. Hobbs, a former employee of DMAHC to recover monies withheld by DMA (2 weeks pay and 4 weeks accumulated annual leave). Monies were withheld because Ms. Hobbs violated the terms of a training contract signed on July 7, 1977 which provided that upon completion of her training she would continue to serve in the DoD for a period of not less than 27 months unless involuntarily separated. Plaintiff was given a RIF notice on 15 June 1978 and voluntarily terminated her employment with DMA on 16 September 1978. Plaintiff alleges that the RIF action constitutes an involuntary separation within the meaning of the contract. DMA's position is that she violated the terms of the contract by voluntarily leaving government service and is, therefore, obligated to pay back DMA dollars spent on her training.

This is to our knowledge a case of first impression. Motions for Summary Judgment have been filed, no trial date has been set. The Court granted plaintiff's motion to amend the complaint. DMA's answer has been filed.

Chamberlain & Seibold v. Defense Mapping Agency, Civil No. SA 77 CA 140 (W.D. Tex. 17 May 1977).

This is a suit by 2 DMAHTC (San Antonio) employees alleging denial of promotions because of age. Proposed pretrial orders filed, however, no trial date has been set. Awaiting instructions from judge. Currently drafting summary judgment motion to get case moving and awaiting trial date.

Churchill Chia-Chu Sze v. Director, Defense Mapping Agency, Civil No. K-79-353 (D. Md. 31 January 1979).

By Court Order of 31 January 1979 case was transferred from the U.S. District Court for the District of Columbia to the District of Maryland (Baltimore). Agency advised that Sze filed motion alleging DMA violated Court Order of 5 November 1979. That Order said that the old standards should be used for one year (5 November 1979 - 5 November 1980) on any promotion announcements for which Sze would be eligible to apply. Sze claims he was qualified for at least one position and that the Agency failed to evaluate him in accordance with those old standards. The old qualification standards were: experience, education, awards and training, however, the Knowledge, Skills, Abilities and Personal Characteristics (KSAP) method was used to evaluate candidates under PVA 80-111, a GS-12 position for which Sze was eligible to apply. Court may order further relief. However, DMA's position is that KSAPs merely change the format in which a person's "resume" is presented, therefore, it is not a substantive change. Agency currently preparing answer.

SS PIONEER COMMANDER - Stranding of Vessel, August 13, 1977
United States Lines, Inc. v. U.S.A. SDNY 79 Civ. 4209 (RJW)

This is a case involving the grounding of the ship SS PIONEER COMMANDER off the coast of Northern Scotland. Plaintiff is alleging the grounding occurred due to an error on a DMA nautical chart. Agency to file answer to Request for Production. Case still in discovery. Both sides have interrogatories and requests for production. DMA's answer has to be coordinated with at least three different government agencies. A copy of the Litigation Report is enclosed.

ORIGINAL
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CLERK, U. S. DIST. COURT
SAN FRANCISCO

UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA

ALFRED J. RAPPENECKER, ALBERT
MINICHIELLO, DARRYL V. KASTL,
FRANK CONWAY, and RAYMOND PAUL
FRIEDLER, JR.,

Plaintiffs,

NO. C-76-0298-WWS

v.

UNITED STATES OF AMERICA,

Defendant.

CAROL A. SCHMIDT, As
Administratrix of the Estate
of EARL C. GILBERT,

Plaintiff,

NO. C-76-0422-WWS

v.

UNITED STATES OF AMERICA,

Defendant.

JUAN P. SANCHEZ and WILBERT N.
BOCK,

Plaintiffs,

NO. C-77-0565-WWS

v.

UNITED STATES OF AMERICA,

Defendant.

FRANCIS PASTRANO,

Plaintiff,

NO. C-77-0939-WWS

v.

UNITED STATES OF AMERICA,

Defendant.

MEMORANDUM OF OPINION
AND ORDER

Doc 2

2 against the United States under the Suits in Admiralty Act
3 (SIAA), 46 U.S.C. Section 742. Jurisdiction exists under
4 28 U.S.C. Section 1333(1). Plaintiffs seek damages for
5 personal injuries allegedly suffered during United States
6 military operations in response to the seizure of the
7 Mayaguez by Cambodian gunboats on May 12, 1975. They advance
8 two theories of liability against the government: (1) neg-
9 ligence in undertaking and executing the military operation
10 and (2) breach of a duty to warn the Mayaguez of the danger
11 of such a capture.^{1/}

12 At a status conference on December 28, 1979, the Court
13 directed plaintiffs to show cause why it had jurisdiction of
14 the claims stated. The parties filed memoranda and affidavits
15 and appeared at a hearing on February 29, 1980. At that
16 hearing the Court expressed its tentative view that the
17 claim of negligence by the government in connection with the
18 military operation presented a nonjusticiable political
19 question. At the Court's invitation, the parties then
20 submitted supplementary pleadings on the propriety of
21 summary judgment in favor of the government.

22 I. Factual Background

23 The Mayaguez, a privately owned cargo vessel operating
24 under American registry was seized by Cambodian gunboats on
25 May 12, 1975, as it passed within 3 miles of the Poulo Wai
26 Islands in the Gulf of Thailand, 60 miles from the Cambodian
27 coast. The ship had departed Hong Kong on May 8, bound for
28 Sattahip, Thailand, carrying United States military cargo
29 and other freight. At the time, Cambodia, as well as
30 Thailand and Vietnam, claimed sovereignty over the Poulo Wai
31 Islands.

32 Immediately after learning of the seizure, the United

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United States government undertook surveillance of the Mayaguez and its crew, who were being held on the nearby Cambodian island of Koh Tang. On May 13, after making demands for return of the vessel and the crew through the media and diplomatic channels, President Ford "directed the United States Armed Forces to isolate the island and interdict any movement between the ship or the island and the mainland, and to prevent movement of the ship itself, while still taking all possible care to prevent loss of life or injury to the U.S. captives." (Letter dated May 15, 1975, from President Ford to the Speaker of the House.) Plaintiffs claim that they were injured during engagements between U.S. military aircraft and the boat on which the crew of the Mayaguez was being transported from Koh Tang Island to the mainland.

Plaintiffs have alleged that agencies of the United States had notice, before the Mayaguez left Hong Kong for Sattahip, of similar hostile acts by Cambodia against vessels in waters near the Poulo Wai Islands. In traveling near the Poulo Wai Islands, the Mayaguez followed a trade route described in official publications of the United States government. Means were available to the government to warn ships in port at Hong Kong or at sea, by radio, of the risk of attack or seizure. No such warning was broadcast in advance of the seizure of the Mayaguez.

II. Liability Based on Military Operations

Plaintiffs argue that the government may be held liable under the SIAA for negligence in undertaking and executing the military operations. This claim raises two issues: (1) whether it is barred by an implied "discretionary function" exception to the waiver of sovereign immunity in the SIAA and (2) whether it presents nonjusticiable political questions.

A. Discretionary Function Exception

Had this action been brought before 1960, a district

1 court could not have entertained it under the Federal Tort
2 Claims Act (FTCA) which contained an exception for claims
3 based upon the performance of discretionary functions of
4 government. 28 U.S.C. Section 2680(a). In 1960, Congress
5 amended SIAA to eliminate conflict and confusion concerning
6 the respective jurisdiction of the district courts and Court
7 of Claims over actions against the government arising out of
8 admiralty matters. See the discussion in De Bardeleben
9 Marine Corp v. United States, 451 F.2d 140, 143-44 (5th
10 Cir. 1971). As a result of the amendment, the district
11 courts were given jurisdiction over "cases [against the
12 government] where . . . if a private person or property were
13 involved, a proceeding in admiralty could be maintained . . ."
14 46 U.S.C. Section 742. Referring to the legislative history
15 of the amendment, the court in De Bardeleben said:

16 The Senate Report indicates that the
17 purpose "of the amendments is to make
18 as certain as possible that suits brought
19 against the United States for damages
20 caused by vessels and employees of the
21 United States through breach of contract
22 or tort can be originally filed in the
23 correct court so as to proceed to trial
24 promptly on their merits." And in
25 another part of the Report we learn
26 that the purpose of the bill, as
27 amended, is to authorize the transfer
28 of cases between the U.S. district
29 courts and the Court of Claims, and
30 vice versa. "The bill also clarifies
31 confusing language now existing in
32 section 2 of the Suits in Admiralty
Act." Senate Report, supra, at p.
3583. 451 F.2d at 145.

33 The effect of the amendments, enacted to achieve these
34 purposes, was to extend the waiver of sovereignty to cases
35 brought against the United States under the SIAA. In taking
36 this action, Congress was silent on whether the exceptions
37 which would have applied had the case been brought under the
38 FTCA would apply under the SIAA.

39 The issue whether the discretionary function exception

1 found in the FTCA should be implied under the SIAA has been
2 addressed by four courts of appeals. The First and Seventh
3 Circuits have held that such an exception must be implied.
4 Bearce v. United States, 614 F.2d 556, 559-60 (7th Cir.
5 1980); Gercey v. United States, 540 F.2d 536, 539 (1st Cir.
6 1976), cert. denied, 430 U.S. 954 (1977). In doing so, they
7 relied on the narrow purpose of the 1960 amendment to
8 eliminate jurisdictional conflict and confusion, and on the
9 uncalled-for results should the many legislative and ad-
10 ministrative judgments concerning the public interest in
11 maritime matters be subject to independent judicial review.
12 See also United States v. United Continental Tuna Corp., 425
13 U.S. 164, 176 (1976), commenting on the limited purpose of
14 the 1960 amendments.

15 The Fourth Circuit, in Lane v. United States, 529 F.2d
16 175 (4th Cir. 1975), stated that a discretionary function
17 exception could not be imported into the SIAA. It did so,
18 however, without discussion of the considerations on which
19 the First and Seventh Circuits relied. The statement may,
20 in any event, have been unnecessary to the decision because
21 other provisions of law imposed a duty on the United States
22 to mark sunken vessels. Finally, in De Bardeleben, supra,
23 the Fifth Circuit rejected importation of the discretionary
24 function exception in what clearly was dictum. 451 F.2d at
25 146.^{2/}

26 The question appears to be one of first impression in
27 this circuit. The Court is persuaded by the reasoning of
28 the Bearce and Gercey decisions. To subject to judicial
29 scrutiny policy decisions made at the highest level of
30 government simply because the action was brought under the
31 SIAA rather than the FTCA would go far beyond the limited
32 purpose of the 1960 amendments and lead to "an intolerable

1 state of affairs." Gercey, supra, 540 F.2d at 539.

2 Having determined that an exception for discretionary
3 functions must be implied under the SIAA, the Court finds
4 that the decision to undertake the rescue operation and its
5 execution fall within that exception. The decision itself
6 involved a "basic policy judgment as to the national interest."
7 see Gercey v. United States, supra, 540 F.2d at 539; the
8 discretionary function exception which immunizes that
9 decision against judicial scrutiny extends also to acts of
10 subordinates in carrying it out according to official
11 directions. See Dalehite v. United States, 346 U.S. 15, 35-
12 36 (1953).

13 Plaintiffs' claims based on the government's alleged
14 negligence in the conduct of the rescue operation are
15 therefore not actionable under the SIAA.

16 B. Justiciability

17 An alternate ground for dismissing the claims based
18 on the conduct of the military operations is that these
19 claims present nonjusticiable questions. Under the political
20 question doctrine, nonjusticiability is "primarily a function
21 of the separation of powers." Baker v. Carr, 369 U.S. 186,
22 210 (1962). In that decision, the Supreme Court defined the
23 elements which serve to identify nonjusticiable political
24 questions:

25 Prominent on the surface of any case held
26 to involve a political question is found
27 a textually demonstrable constitutional
28 commitment of the issue to a coordinate
29 political department; or a lack of
30 judicially discoverable and manageable
31 standards for resolving it; or the
32 impossibility of a court's undertaking
independent resolution without expressing
lack of the respect due coordinate branches
of government; or an unusual need for
unquestioning adherence to a political
decision already made; or the potentiality
of embarrassment from multifarious pro-
nouncements by various departments on one
question. 369 U.S. at 217.

1 More recently(Justice Powell, concurri(in Goldwater v.
2 Carter, ___ U.S. ___, 100 S.Ct. 533, 534 (1979), summarized
3 the relevant factors as follows:

- 4 (i) Does the issue involve resolution of
5 questions committed by the text of the
6 Constitution to a coordinate branch of
7 government? (ii) Would resolution of
8 the question demand that a court move
9 beyond areas of judicial expertise?
10 (iii) Do prudential considerations
11 counsel against judicial intervention?

12 In deciding to undertake the rescue operation the
13 President exercised his authority over the conduct of
14 foreign relations; in implementing the decision he exercised
15 his powers as commander in chief. See United States v.
16 Curtiss-Wright Corp., 299 U.S. 304, 318-19 (1936)(dictum);
17 The Prize Cases, 67 U.S. (2 Black) 635, 670 (1862).^{3/} Not
18 every question involving the exercise of these powers is
19 necessarily nonjusticiable as a political question. "[A]
20 discriminating analysis of the question posed [is required],
21 in terms of the history of its management by the political
22 branches, of its susceptibility to judicial handling in the
23 light of its nature and posture in the specific case, and of
24 the possible consequences of judicial action." Baker v. Carr,
25 supra, 369 U.S. at 211-12.

26 Plaintiffs contend that the President acted negligently
27 in the exercise of his power, arguing that Cambodia's
28 seizure of the Mayaguez in its territorial waters did not
29 violate international law.^{4/} But that contention is beside
30 the point. It has long been settled that the underlying
31 factual or legal determinations on the basis of which the
32 President conducts the foreign relations of the United
33 States are not subject to judicial scrutiny. Williams
34 v. Suffolk Insurance Co., 38 U.S. (13 Peters) 415, 419-20
35 (1839) (determination by executive branch that the Falkland
36 Islands were not within sovereignty of Buenos Ayres); Doe

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v. Braden, 57(.S. (16 Howard) 635, 656(/ (1854) (determina-
tion by the President that the King of Spain had power to
nullify a prior land grant by the Duke of Alagon); see also,
Oetjen v. Central Leather Co., 246 U.S. 297, 302-3 (1918).
Under the doctrine of separation of powers, the making of
those determinations is entrusted to the President. They
must be accepted by the judicial branch in the carrying out
of its functions. Henkin, Foreign Affairs and the Constitu-
tion 214 (1972). Thus, the claim that the President was
negligent in treating Cambodia's seizure as illegal is
nonjusticiable.

That conclusion finds support in the reasoning of the
Court in Baker v. Carr, supra:

(1) The responsibility for dealing with foreign
nations over such matters as the seizure of American persons
and property is clearly committed to the President, United
States ex rel. Keefe v. Dulles, 222 F.2d 390 (D.C. Cir.
1954), cert. denied, 348 U.S. 952 (1955);

(2) There are no judicially discoverable and manage-
able standards for resolving the present issue, cf. C&S Air
Lines v. Waterman Steamship Corp., 333 U.S. 103, 111 (1948);

(3) Adjudication would involve a range of initial
policy determinations of a kind clearly for nonjudicial
discretion;

(4) For the Court to undertake an independent resolu-
tion would likely reflect lack of respect due a coordinate
branch of government;

(5) Multifarious pronouncements by various departments
on the question create a potential of embarrassment.

Plaintiffs contend further that the President acted
negligently in deciding to use military force to effect the
rescue rather than pursuing diplomatic means. The same

1 consideration(that bar reexamination of the premises of the
2 President's foreign policy decision to demand immediate
3 return of the vessel and crew bar reexamination of the
4 decision to employ military force. The President, as
5 commander in chief, is "necessarily constituted the judge of
6 the existence of the exigency, in the first instance, and is
7 bound to act according to his belief of the facts." Martin
8 v. Mott, 25 U.S. (2 Wheat.) 19, 30 (1827); see, Henkin,
9 supra, at 214.

10 Certainly it is not the function of the
11 Judiciary to entertain private litigation -
12 even by a citizen - which challenges the
13 legality, the wisdom, or the propriety of the
14 Commander-in-Chief in sending our armed
15 forces abroad or to any particular region.

16 Johnson v. Eisentrager, 339 U.S. 763, 789 (1950)(rejecting
17 inter alia a challenge to the legality of the presence of
18 American troops in China and affirming the dismissal of a
19 habeas corpus petition by a non-resident alien who had been
20 tried and convicted of war crimes).^{5/}

21 The indicia of Baker v. Carr apply with equal force
22 here. The responsibility for the use of military forces is
23 clearly committed to the President by the Constitution.^{6/}
24 There are no standards for this Court to judge the reason-
25 ableness of the President's actions. His decisions neces-
26 sarily involved a range of policy determinations entrusted
27 to his discretion. And the prudential considerations
28 identified in Baker v. Carr also strongly oppose independent
29 judicial determination whether the use of military force was
30 reasonable.^{7/}

31 Finally plaintiffs contend that a claim for negligence
32 may in any case be based on the manner in which military
33 personnel carried out the President's order. But the same
34 considerations which preclude judicial examination of the
35 decision to act must necessarily bar examination of the

1 manner in which that decision was executed by the President's
2 subordinates. The textual commitment to the President as
3 commander in chief of authority for military decisions
4 entails that his decisions may be implemented without
5 judicial scrutiny. Durand v. Hollins, 8 F. Cas. 111 (No.
6 4186) (C.C.S.D.N.Y. 1860); cf. Dalehite v. United States,
7 supra, 346 U.S. at 35-36. Moreover, courts lack standards
8 with which to judge whether reasonable care was taken to
9 achieve tactical objectives in combat while minimizing
10 injury and loss of life. See Da Costa v. Laird, 471 F.2d
11 1146, 1155 (2d Cir. 1973).^{8/}

12 The Court concludes that plaintiffs' claims arising out
13 of the military operations fall within the class of claims
14 arising out of determinations entrusted to the executive
15 branch and not subject to review by the courts, and are
16 therefore nonjusticiable.

17 III. The Failure to Warn

18 Plaintiffs also seek to hold the government liable for
19 failing to issue a warning about the danger of seizure by
20 Cambodian forces in the waters near the Poulo Wai Islands.
21 They argue that the government had cause to issue such a
22 warning and that the master of the Mayaguez reasonably
23 relied on its absence in charting the freighter's course.

24 The controlling principle is stated in Indian Towing
Co. v. United States, 350 U.S. 61, 69 (1955):

25 The Coast Guard need not undertake the
26 lighthouse service. But once it exercised
27 its discretion to operate a light on
28 Chandeleur Island and engendered reliance
29 on the guidance afforded by the light, it was
30 obligated to use due care to make certain
31 that the light was kept in good working
32 order; and, if the light did become extin-
guished, then the Coast Guard was further
obligated to use due care to discover this
fact and to repair the light or give warning
that it was not functioning. If the Coast
Guard failed in its duty and damage was there-
by caused to petitioners, the United States
is liable under the Tort Claims Act.

1 Whether the issuance of broadcast and written warnings
2 by the government from time to time and the publication of
3 sailing directions engendered reasonable reliance and
4 whether the government's failure to warn of risks of seizure
5 was negligent are mixed questions of law and fact which
6 cannot be adjudicated on summary judgment. A trial must be
7 held on those issues. In so holding, the Court intimates no
8 view on the merits of this claim.

9 Accordingly, defendant's motion for summary judgment is
10 granted with respect to all claims arising out of the
11 military operations and denied without prejudice as to the
12 claims based on defendant's failure to warn.

13 The parties are directed to appear for a preliminary
14 pretrial conference on August 8, 1980 at 3 p.m., and to
15 confer in advance with respect to the scope of the trial and
16 dates for pretrial and trial.

17 IT IS SO ORDERED.

18 DATED: July 8, 1980

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21 WILLIAM W SCHWARZER
22 United States District Judge
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1/ Plaintiffs' opening memorandum advanced a third theory: that the military rescue operation and failure to warn breached the government's duty of good faith as a shipper of goods aboard the Mayaguez. However, the carriage of goods owned by the United States was a mere coincidence that did not contribute to the risk of seizure or any consequent injury to the crew. The cases cited by plaintiffs do not support the proposition that because the government was a shipper of goods it owed the Mayaguez any special care in issuing navigational warnings or in the choice of diplomatic or military tactics after the seizure. Plaintiffs' brief relies on the bill of lading as the basis for a contractual duty on the part of the government, but it cites no promise in the bill of lading that might have been breached by the government's conduct. The fact that the government was a shipper of goods on the Mayaguez adds nothing to plaintiffs' other theories of liability.

2/ The Court in De Bardeleben, in rejecting an implied discretionary function exception under the SIAA, feared that it would produce irrational and unintended distinctions, pointing to cases in which liability was imposed upon the United States for the operation of military vessels. 451 F.2d at 146 n.15. The cases cited, however, involve claims based upon the negligent operation of vessels which, as operational acts, would fall outside the scope of the discretionary exception. See, Gercey v. United States, supra, 540 F.2d at 539 n.4.

3/ Cf. Goldwater v. Carter, supra, 100 S.Ct. at 535:

The present case involves neither review of the President's activities as Commander-in-Chief nor impermissible interference in the field of foreign affairs.

(Justice Powell, concurring).

4/ According to the authority relied on by plaintiffs, the dispositive issue under international law would be whether it was reasonably necessary under the circumstances for Cambodia to seize the Mayaguez to find out if it threatened Cambodian security. J. Paust, The Seizure and Recovery of the Mayaguez, 85 Yale L.J. 774, 785-95 (1976).

5/ See also The Prize Cases, supra; Atlee v. Laird, 347 F. Supp. 689 (E.D. Pa. 1972), aff'd without opinion, 411 U.S. 911 (1973); Luther v. Borden, 48 U.S. (7 Howard) 1, 43 (1849), quoted in Baker v. Carr, supra, 369 U.S. at 221:

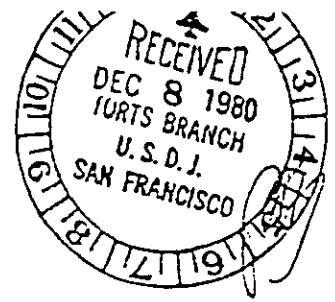
After the President has acted and called out the militia, is a Circuit Court of the United States authorized to inquire whether his decision was right? . . . If the judicial power extends so far, the guarantee contained in the Constitution of the United States is a guarantee of anarchy, and not of

1 6/ The proposed text of Article 1, Section 8, clause 11
2 was amended in the Constitutional Convention to give Congress
3 the power to "declare" war, striking the word "make", for
4 the express purpose of leaving to the executive "the power
5 to repel sudden attacks." 2 M. Farrand, The Records of the
6 Federal Convention of 1787, at 318-19 (rev. ed. 1937),
7 quoted in Note, Congress, the President, and the Power to
8 Commit Forces to Combat, 81 Harv.L.Rev. 1771, 1773 n.16
9 (1968).

10 7/ Plaintiffs also contend that a private right of
11 action may be implied under the War Powers Resolution of
12 1973, 50 U.S.C. § 1541-48. The difficulty with plaintiffs'
13 case, however, is not the lack of a cause of action but the
14 lack of justiciability of their claims in view of the
15 separation of powers doctrine. The War Powers Resolution
16 does not affect that doctrine or diminish the authority of
17 the decisions relied on by the Court. This does not, of
18 course, imply any view about the justiciability of other
19 cases under the War Powers Resolution.

20 8/ Plaintiffs' reliance on cases which determine the
21 limitations of the immunity doctrine applicable to military
22 officers is beside the point. Immunity may afford an
23 absolute or qualified defense to government officials
24 against otherwise valid claims for damages. The Court holds
25 here, however, that no such claims have been presented in
26 connection with the conduct of the military operations.

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IN THE UNITED STATES DISTRICT COURT
FOR THE NORTHERN DISTRICT OF CALIFORNIA

ALFRED J. RAPPENECKER, ALBERT
MINICHIELLO, DARRYL V. KASTL
and FRANK CONWAY,

Plaintiffs,

v.

UNITED STATES OF AMERICA,

Defendant.

CAROL A. SCHMIDT, as Administratrix
of the Estate of EARL C. GILBERT,

Plaintiff,

v.

UNITED STATES OF AMERICA,

Defendant.

JUAN P. SANCHEZ and WILBERT N. BOCK,

Plaintiffs,

v.

UNITED STATES OF AMERICA,

Defendant.

FRANCIS PASTRANO,

Plaintiff,

v.

UNITED STATES OF AMERICA,

Defendant.

CIVIL NO. C-76- 298 WWS
CIVIL NO. C-76- 422 WWS
CIVIL NO. C-77-0565 WWS
CIVIL NO. C-77-0939 WWS

PLAINTIFF'S PRETRIAL
STATEMENT

1 Come now plaintiffs and file the following Pretrial
2 Statement in this action.

3 1. Parties: Plaintiffs are 7 crew members of the
4 SS MAYAGUEZ and one Administratrix representing the Estate of an
5 8th crew member. The defendant is the United States of America.

6 2. Jurisdiction and Venue: These action are brought
7 against the United States under the Suits in Admiralty Act (SIAA),
8 46 U.S.C. Section 742. Jurisdiction exists under 28 U.S.C. Section
9 1333(1). Venue is proper and undisputed.

10 3. Substance of the Action: Plaintiffs seek damages for
11 personal injuries suffered in captivity by Cambodia and as a
12 foreseeable consequence of their rescue during United States
13 military operations in response to the seizure of the MAYAGUEZ by
14 Cambodian gunboats on May 12, 1976. Plaintiffs expect to prove
15 liability based on negligence of the government in failing to warn
16 the MAYAGUEZ of the danger of capture and detention, with prior
17 knowledge of recent similar hostile military and political activi-
18 ties by Cambodia constituting a hazard to navigation in the Gulf
19 of Thailand.

20 4. Undisputed Facts: On May 12, 1975, the American
21 merchant vessel MAYAGUEZ and her crew were seized and detained in
22 navigable waters by Cambodian nationals within the 12 mile terri-
23 torial sea of the Poulo Wai Islands claimed by Cambodia which are
24 located about 60 miles off the Cambodian coast in the Gulf of
25 Thailand.

26 Long prior to the seizure of the vessel, the United States
27 as authorized by statute (10 U.S.C. §§7391, 7392 and 44 U.S.C.
28 §1336 undertook to warn American merchant ships by radio broad-
29 cast and written notice of natural and man-made hazards to naviga-
30 tion including domestic and foreign military and political
31 activity affecting shipping throughout the world

1 The defendant with prior knowledge of r
2 hostile military and political activities by Camb
3 ship seizures and detentions in the same area of
4 Thailand failed to warn the MAYAGUEZ under establi
5 procedures of the hazard to vigation thereat.

6 The government publishes various nautical
7 document known as Sailing Directions for the Western
8 the South China Sea (PUB 93) and Radio Navigational
9 which all American mariners are required by the United
10 Coast Guard to carry aboard ship on foreign voyages and
11 the government intends United States flag vessels to
12 documents are required to be kept current and up-to-date
13 information supplied through radio broadcast and written
14 to mariners also published and disseminated by the United
15 government.

16 American mariners including the master of the
17 rely on the government to issue timely warnings of both
18 and man-made hazards to navigation, including military
19 political activities known to the United States so that
20 change the course of their ship or take other corrective
21 to avoid injury to life and property at sea.

22 The dereliction of duty of the government in failing
23 warn the MAYAGUEZ of the hazard to navigation of which it had
24 prior knowledge was a proximate cause or a substantial factor
25 in causing the capture and detention of the vessel with consequen
26 tial injuries to the plaintiff crew members in this case.

27 5. Disputed Factual Issues: Plaintiffs do not believe
28 there are any disputed facts on the liability issue.

29 6. Relief Prayed: Plaintiffs pray damages as follows:

30 Alfred J. Rappenecker, Three Hundred Fifty Thousand
31 \$350,000.00 Dollars plus special damages to conform to usual
32

1 The defendant with prior knowledge of recent similar
2 hostile military and political activities by Cambodia, including
3 ship seizures and detentions in the same area of the Gulf of
4 Thailand failed to warn the MAYAGUEZ under established government
5 procedures of the hazard to navigation thereat.

6 The government publishes various nautical charts, a
7 document known as Sailing Directions for the Western Shores of
8 the South China Sea (PUB 93) and Radio Navigational Aids (PUB 117B)
9 which all American mariners are required by the United States
10 Coast Guard to carry aboard ship on foreign voyages and upon which
11 the government intends United States flag vessels to rely. These
12 documents are required to be kept current and up-to-date by
13 information supplied through radio broadcast and written notices
14 to mariners also published and disseminated by the United States
15 government.

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17 rely on the government to issue timely warnings of both natural
18 and man-made hazards to navigation, including military and hostile
19 political activities known to the United States so that they may
20 change the course of their ship or take other corrective action
21 to avoid injury to life and property at sea.

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28 there are any disputed facts on the liability issue.

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31 \$350,000.00 Dollars, plus special damages to conform to proofs;

1 Albert Minichiello, Three Hundred Fifty Thousand
2 (\$350,000.00) Dollars; plus special damages to conform to proofs;

3 Darry V. Kastl, Two Hundred Fifty Thousand (\$250,000.00)
4 Dollars, plus special damages to conform to proofs;

5 Frank Conway, Three Hundred Fifty Thousand (\$350,000.00)
6 Dollars; plus special damages to conform to proofs;

7 Carol A. Schmidt, As Administratrix of the Estate of
8 Earl S. Gilbert, Two Hundred Fifty Thousand (\$250,000.00) Dollars;

9 Juan P. Sanchez, Three Hundred Fifty Thousand
10 (\$350,000.00) Dollars, plus special damages to conform to proofs;

11 Wilbert N. Bock, Two Hundred Fifty Thousand (\$250,000.00)
12 Dollars, plus special damages to conform to proofs;

13 Francis Pastrano, Two Hundred Fifty Thousand
14 (\$250,000.00) Dollars, plus special damages to conform to proofs.

15 Determination of the issue of damages has been deferred
16 pending trial of the liability issue.

17 7. Points of Law: The points of law involved in this
18 case are set forth in the Memorandum of Opinion and Order of the
19 Court filed July 8, 1980 herein. Plaintiffs have reserved
20 exceptions to those portions of the Order regarding the govern-
21 ment's liability based on Military Operations (including any
22 Discretionary Function Exception and the question of Justiciability
23 thereunder).

24 Consequential damages which flow from defendant's
25 negligent failure to warn resulting in the seizure of the vessel,
26 include damages caused during foreseeable rescue attempt by
27 U.S. Military forces, since capture invites rescue.

28 See: Prosser, Torts 4th Ed. p. 227.

29 8. Previous Motions: Plaintiffs' Motion for an Order
30 Compelling Defendant to Answer Interrogatories and Produce
31 Documents for Inspection heard before the Honorable Lloyd E. Burke
32 of March 1, 1977 was granted on March 9, 1977.

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1 government warnings regarding hazards to navigation.

2 (c) Oscar L. Martin, Chief U.S. Defense Mapping Agency
3 Hydrographic Department (adverse witness by deposition), expert
4 and factual witness on government maritime warning procedures.

5 (d) Richard K. Bank, former director of Office of
6 Maritime Affairs, U.S. Department of State (adverse witness by
7 deposition), expert and factual witness on government warnings to
8 Mariners and American Shipping.

9 (e) Elmer B. Staats, Comptroller General of the United
10 States (by Official Government Report and Public Record entitled
11 "Seizure of the Mayaguez, Part IV," dated October 4, 1976,
12 published by the U.S. Government Printing Office, Document No.
13 76-33.) Factual witness on findings regarding Mayaguez incident.

14 10. Exhibits, Schedules and Summaries: Plaintiffs
15 may introduce the following exhibits:

16 (1) The Report of the Comptroller General of the
17 United States submitted to the Subcommittee on International
18 Political and Military Affairs, Committee on International
19 Relations entitled "Seizure of the Mayaguez" Part IV, Government
20 Printing Office Publication No. 76-33.

21 (2) The original nautical charts from the SS MAYAGUEZ
22 which were plotted by Captain Charles Miller and his staff
23 officers.

24 (3) The Sailing Directions for Western Shores of South
25 China Sea, Publication No. 93 for 1975.

26 (4) Radio Navigation Aids, Publication No. 117B for
27 1974 and 1975.

28 (5) The memorandum of Bert W. Rain to Joseph J. Sisco
29 dated February 9, 1976 with attachment - Pages 47 and 48 to the
30 Report of the Comptroller General of the United States - System
31 to Warn U.S. Mariners of Potential Political/Military Hazards

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29 dated February 9, 1971 with attachment - Pages 47 and 48 to the
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31 to Warn U.S. Mariners of Potential Political/Military Hazards

1 (18) Summary of Ocean Claims.

2 (19) The letter of Richard K. Bank to Captain John L.
3 Butts, Assistant Commander Naval Intelligence Command, dated
4 October 7, 1975, marked as plaintiffs' Exhibit 5 to the deposition
5 of Richard K. Bank.

6 (20) The booklet, Currents in the South China, Jarva,
7 Celebes and Sulu Seas, publication No. 236, dated 1945 published
8 under the Authority of the Secretary of the Navy.

9 (21) Analysis Defense Mapping Agency Daily Memoranda
10 Pacific Edition (Hydropacs) from April 2, 1975 through June 2,
11 1975, marked as defendant's Exhibit A to the deposition of
12 Henrik E. Sievers taken December 1, 1980.

13 (22) Standing Orders, of Henrik Sievers to all
14 licensed Deck Officers, USCG Rules and Regulations - MM&P
15 Agreement.

16 (23) Nautical Chart No. 92380 plotted by Captain T.
17 Parrish and Captain Henrik Sievers.

18 (24) Defendant's response to Plaintiffs' Request for
19 Admissions dated January 1, 1980.

20 11. Further Discovery or Motions: None contemplated on
21 Liability issue.

22 12. Stipulations: Plaintiff's exhibits are genuine
23 and may be admitted into evidence as marked without further
24 foundation.

25 13. Amendments, Dismissals: Plaintiffs reserve the
26 right to amend their complaint regarding respective amounts of
27 damages according to the proofs. Plaintiff Friedler requests a
28 discontinuance and voluntary dismissal of his claim against the
29 defendant.

30 14. Settlement Discussions: The government is unwilling
31 to discuss settlement at this time.

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JUAN P. SANCHEZ and
WILBERT N. BOCK,

Plaintiffs,

v.
UNITED STATES OF AMERICA,

Defendant.

CIVIL NO. C-77-565-WWS

FRANCIS PASTRANO,

Plaintiff,

v.
UNITED STATES OF AMERICA,

Defendant.

CIVIL NO. C-77-939-WWS


PRETRIAL STATEMENT OF
DEFENDANT
UNITED STATES OF AMERICA

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WITNESS OF SERVICE BY MAIL - 1978a (2075 G. C. P.)

I, the undersigned, hereby certify that I am a citizen of the United States over the age of eighteen years and not a party to the within action; my business address is 113 - 2nd Street San Francisco, California 94105

I served a true copy of the within summons on the defendant by placing same in an envelope, sealing it, and depositing it in a post office box and depositing said envelope in the U. S. Mail at San Francisco, California on the 8th day of December 1980 said envelope was addressed as follows and certify under penalty of perjury that the foregoing is true and correct.


EILEEN LIEGL

Warren A. Schneider, Esq.
Torts Branch, Civil Div.
U.S. Dept. of Justice
16152 Federal Bldg.
P.O. Box 36028
459 Golden Gate Ave.
San Francisco, CA 94102

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(IN CASE OF SERVICE BY MAIL - 1012a, 21 C.F.R. 101.21)

I, the undersigned, hereby certify that I am a citizen of the United States over the age of eighteen years and not a party to the within action; my business address is 123 - 2nd Street San Francisco, California 94105

I served a true copy of the within summons by placing same in an envelope, sealing the envelope and depositing said envelope in the U.S. Mail at San Francisco, California on the 8th day of December 1980 said envelope was addressed as follows; and certify under penalty of perjury that the foregoing is true and correct.


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Warren A. Schneider, Esq.
Torts Branch, Civil Div.
U.S. Dept. of Justice
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P.O. Box 36028
459 Golden Gate Ave.
San Francisco, CA 94102

1 of Southeast Asia in which the MAYAGUEZ operated was one of the
2 hostilities and disputes among the various nations was well known
3 to officials of Sea-Land, and to the Master and crew of the MAYAGUEZ,
4 including the plaintiffs herein.

5 Shortly before the attack on the MAYAGUEZ, there had been
6 reports of attacks on other vessels. These reports had come to the
7 attention of certain agencies of the United States Government, but
8 not to the attention of personnel in the Defense Mapping Agency or
9 the Maritime Affairs Branch, Department of State, the two agencies
10 directly involved in the decision as to whether or not a warning
11 should be issued. These officials did not know of these earlier
12 incidents until after the seizure of the MAYAGUEZ. Thus, no naviga-
13 tional warnings concerning these attacks had been issued by the
14 United States. The first incident, a reported attack on a South
15 Korean vessel, the MASAN, about a week before the seizure of the
16 MAYAGUEZ, was promptly reported by Lloyd's of London and by Singapore
17 Radio, which was monitored by the MAYAGUEZ.

18 The United States Government issues two types of navigational
19 warnings. One is called a "Special Warning" which is reserved for
20 severe incidents, such as the outbreak of war. These are issued
21 very infrequently. In fact, less than 40 substantive ones had been
22 issued between 1948, when they started, until the seizure of the
23 MAYAGUEZ.

24 The second navigational warning issued by the United States is
25 called Hydrolants or Hydropacs, depending on the area of the world
26 desired to be covered. These contained basic navigational informa-
27 tion, e.g., changes in lights and buoys, the reporting of wrecks,
28 shoals, etc. They were also used to report scheduled naval exercises,
29 gunnery tests, missile firings, etc. On very rare occasions they
30 were used to report the possibility of hostile actions, but, prior
31 to the MAYAGUEZ seizure, only when the information was based on
32 official requests from U. S. Government agencies such as the Coast

1 Federal Tort Claims Act was to be implied in cases arising under
2 the Suits in Admiralty Act.

3 (i) Witnesses to be Called:

4 Defendant may call at trial on the issue of liability, either
5 live or by way of deposition, the following individuals, reserving
6 rebuttal or impeachment witnesses:

- 7 (1) Mr. O. L. Martin, Defense Mapping Agency;
- 8 (2) Mr. Richard Bank, formerly of Office of Maritime
9 Affairs, Department of State;
- 10 (3) Any witnesses listed by plaintiffs.

11 (j) Exhibits, Schedules and Summaries:

12 EXHIBITS - MAYAGUEZ

- 13 A. - Chart No. 93280 from MAYAGUEZ;
- 14 B. - Chart No. 3132 from MAYAGUEZ;
- 15 C. - Operations Center Log, U. S. Department of State, for
16 May 4, 1975 (portions);
- 17 D. - Operations Center Log, U. S. Department of State,
18 for May 12 - 15, 1975 (portions);
- 19 E. - Portions of Sailing Directions, Gulf of Thailand (Pub. 93);
- 20 F. - Radio Navigational Aids, Pub. 117;
- 21 G. - Bowditch, American Practical Navigator;
- 22 H. - "Limits in the Seas - National Claims to Maritime Juris-
23 dictions" - State Department Pub. No. 36;
- 24 I. - July 1972 Pilot Chart;
- 25 J. - Notices to Mariners;
- 26 K. - Daily Memoranda;
- 27 L. - Draft of Special Warning #45;
- 28 M. - Special Warning #45;
- 29 N. - Lloyd's publications on attack on MASAN;
- 30 O. - Any exhibit listed by plaintiffs.

31 Defendant reserves its right to amend or supplement this list
32 exhibits depending on the issues raised by plaintiffs.

DEFENSE MAPPING AGENCY
HYDROGRAPHIC/TOPOGRAPHIC CENTER
WASHINGTON, D.C. 20319

LITIGATION REPORT

United States Lines v. United States of America
Civil Action No. 79 CIV 4209, U.S.D.C., S.D.N.Y.

BACKGROUND

The Defense Mapping Agency, through a series of delegations of authority, is responsible for the statutory duties imposed by 10 U.S.C. §§7391-7394 to generally "improve means of navigating vessels of the Navy and merchant marine by providing . . . accurate and inexpensive nautical charts, sailing directions, books on navigation . . ."

Pursuant to this statutory duty, the Hydrographic/Topographic Center of the DMA publishes a number of aids to navigation, among which are Lists of Lights and Fog Signals, Hydrographic Charts, Sailing Directions and periodic Notices to Mariners.

The particular Aid to Navigation which is questioned by the complaint herein is H.O. Pub 114, "List of Lights and Fog Signals for the British Isles, English Channel and North Sea," issue of 1976. At the time of the stranding of Pioneer Commander, the characteristics of the Pentland Skerries Light on Muckle Skerry were listed in Pub 114 as stated in the complaint. Our best information is that the actual characteristics of the light were also as alleged in the complaint.

Doc 5

FACTUAL NARRATIVE

STRANDING. The facts surrounding the stranding of Pioneer Commander are derived from the Report of the Coast Guard Investigating Officer (Tab A), which is the only source available to us so far.

Briefly stated, while transiting Pentland Firth from east to west at night, the Master of Pioneer Commander claims to have incorrectly identified Pentland Skerries Light on Muckle Skerry as the Duncansby Head Light. As a result, his actual position was some three and a half miles north of where he believed he was, and the ship grounded in Pentland Skerries.

PENTLAND SKERRIES LIGHT. At the time of the stranding, Pentland Skerries Light was listed by DMA in Pub 114, "List of Lights and Fog Signals, British Isles, English Channel and North Sea," August 1976 edition, as:

Gp. Fl. W. (3)
period 30s
fl. 0.4s, ec. 0.1s
fl. 0.4s, ec. 0.1s
fl. 0.4s, ec. 28.6s (Tab B)

This characteristic has been listed for Pentland Skerries Light since 1965, before which it was described as:

Gp. Fl. W. (3)
period 30s
fl. 4s, ec. 1s
fl. 4s, ec. 1s
fl. 4s, ec. 16s (Tab C)

No documentation has yet been found for the 1965 change.

At the time of the stranding, the Pentland Skerries Light was listed in the British Admiralty "List of Lights and Fog Signals, British Isles and North Coast of France" as:

Gp. Fl. (3) W 30s, with a note,

fl. 0.4, 3 times in quick succession. (Tab D)

By letter of 3 October 1977 to the law firm of Hill, Dickenson and Co., the British Northern¹ Lighthouse Board gave the characteristics of the Pentland Skerries Light as:

Flash	0.4 sec
Eclipse	5.6 sec
Flash	0.4 sec
Eclipse	5.6 sec
Flash	0.4 sec
Eclipse	17.6 sec

Total 30.0 sec (Tab C, Encl 17)

The Northern Lighthouse Board also advised in the same letter that the light was "flashing to character." (Ibid)

SUGGESTED ANSWER

The agency suggests the following answer to the complaint, recognizing that certain information must come from Military Sealift Command.

ANSWER

FIRST DEFENSE

Answering specifically the numbered paragraphs of the complaint, utilizing the same paragraph numbering, defendant states as follows:

1. Deny.

2. Admit.

3. Defendant is without knowledge or information sufficient to form a belief as to the truth of the averment that Pioneer Commander was tight, staunch, strong and seaworthy and properly manned, equipped and supplied until the stranding complained of. Admit remainder of the allegations in this paragraph.

4. Admit defendant United States of America is a sovereign state. Deny that defendant has consented to be sued on the cause or causes of action set forth in the complaint by Act of Congress of March 9, 1920 (46 U.S.C. §§741 et seq. known as the Suits in Admiralty Act, 1920, as amended and supplemented, or by the Act of Congress of August 2, 1946 (28 U.S.C. §§1346(d) et seq.), as amended and supplemented.

5. Defendant is without knowledge or information sufficient to form a belief as to the truth of the allegations of the last sentence of this paragraph, but insofar as an answer may be deemed to be required, deny the last sentence. The remainder of this paragraph contains mixed conclusions of law and allegations of fact which contain plaintiff's characterization of its action herein. Insofar as an answer may be deemed to be required, deny, except to admit that the quotations cited from Pub's 114 are accurate as to a portion

of Pub's 114, and the Court is referred to the full texts thereof for a complete and accurate statement of their contents.

6. (TO BE PROVIDED BY MSC)

7. Deny.

8. Deny.

9, et seq. Answer to second cause of action to be provided by Military Sealift Command.

SECOND DEFENSE

The complaint fails to state a claim upon which relief can be granted.

THIRD DEFENSE

The Court lacks jurisdiction over the subject matter of this action because it is in effect a suit against the United States to which it has not consented.

FOURTH DEFENSE

Plaintiff has failed to exhaust its administrative remedies.

FIFTH DEFENSE

The injuries and/or damage alleged in the complaint were not proximately caused by a negligent or wrongful act or omission of an employee of the United States.

ANALYSIS OF ANSWER

FIRST DEFENSE

1. We suggest denying all jurisdictional averments in the complaint because we believe the question of waiver of sovereign immunity has not clearly been settled for chart-making and navigation-aid activities engaged in by DMA. This suggestion only applies to the first cause of action. At any rate, we would rather keep a jurisdictional challenge open by denying the averments in the complaint.

3. There is no reason for the Government to admit the good condition of the ship solely on plaintiff's averment, especially when a ship has stranded. There is always the possibility of uncovering some failure or malfunction during discovery.

4. Same considerations as answer no. 1. Even if waiver of sovereign immunity is found by the Court, the remedies of the Federal Tort Claims Act and the Suits in Admiralty Act are arguably mutually exclusive. It may be to our advantage to get a definitive ruling as to which applies.

5. Even though the factual allegations of this paragraph vis-a-vis the characteristics of lights as published and as actually flashing are correct, our actions throughout are characterized as "negligent" which we cannot admit.

7-8. Self explanatory.

SECOND DEFENSE

This is pro forma to preserve any dispositive type motions which may become available after discovery.

THIRD DEFENSE

This is suggested as an affirmative defense consistent with denials of jurisdiction.

FOURTH DEFENSE

No administrative claim had been presented to DMA before the filing of this action. We do not know whether one had been presented to MSC.

FIFTH DEFENSE

Even if the factual allegations of the complaint are proved, our argument is that the listing in Pub 114 of the Pentland Skerries Light was not the proximate cause of the stranding.

DISCUSSION

A number of questions are raised by the Coast Guard Investigative Report (Tab A) which can only be answered by extensive discovery.

The Master of Pioneer Commander asserts that he consulted H.O. Pub 114 to familiarize himself with the lights he would encounter in Pentland Firth. Duncansby Head Light was correctly described in Pub 114 as:

Fl. W
period 6s
fl. 0.7s, ec. 5.3s, (Tab B)

yet the Master did not identify it.

The character of both the Pentland Skerries and Duncansby Head Lights were correctly listed in Pub 114, viz Pentland Skerries group flashing 3 times in a 30 second period; Duncansby Head continuously flashing in 6 second periods. The Master erroneously identified the characteristics of both lights.

It also seems highly unlikely that an experienced captain would mistake the land mass of S. Ronaldsay for Muckle Skerry, as asserted in the Investigative Report. The former is a considerable land mass in comparison with the latter.

Further, the ship's position and the radar range at the time of this misidentification indicates that both Muckle Skerry and S. Ronaldsay were showing on the screen.

The investigation also reveals that Pioneer Commander identified the loom of a flare on Flotta Island. There is a question of whether his subsequent course was consistent with the perceived Duncansby Head Light in relation to the flare on Flotta Island.

It seems axiomatic that the misidentification of Pentland Skerries Light would have been immediately apparent to the

Master after the stranding, yet in the "Report of Vessel Casualty or Accident - CG 2692," dated almost 2 weeks after the stranding, no recommendations for corrective safety measures were made in the block provided on the form.

(Tab B).

CAUSATION

We believe it will be difficult for plaintiff to establish the essential element of causation based on the single issue of the Pentland Skerries Light listing. Among the difficulties he must surmount (in addition to those already alluded to), are:

a. Duncansby Head and Pentland Skerries Lights are listed consecutively on the same page in Pub 114 (Tab B). The Master failed to identify Duncansby Head Light, which was correctly listed and flashing to character. There is no light in the entire Firth that was flashing according to the precise description given for Pentland Skerries Light, and no other lights in the area which flashed to the character of Pentland Skerries Light (Gp. Fl. W (3) 30s). The character of the light was properly described. (Ibid).

b. The aids to navigation provided by DMA consist of a number of materials, including charts, sailing directions and the light list. Of all these aids, plaintiff is urging that

a minor deviation in one particular listing caused his stranding. If plaintiff was attempting to transit Pentland Firth based on this single aid, with all the others available to him, gross negligence is suggested. Further, the Coast Guard investigation indicates that at the time of the stranding (virtually at the entrance to the Firth), fog was closing in from the northwest (Tab A, p. 3, para. 11). DMA's Pub 141, "Sailing Directions (Enroute) for Scotland" (Tab E) clearly warns: "Extreme caution is necessary when navigating Pentland Firth in hazy weather and passage through the strait should not be attempted in fog." (Ibid, p. 211).

It is virtually certain that many other discrepancies will emerge as discovery is had. In the meantime, DMA is continuing its investigation for further information which will aid in the defense of this suit.

Based on information in the Coast Guard Investigation Report, it appears that the Master of the Pioneer Commander made a quick and mistaken identification of a single navigational aid. He then continued for over an hour and twenty minutes to mistake a group flashing 3 every 30 seconds light for a flashing 6 second light. He failed to adjust his radar to the appropriate range for making a landfall. He neglected

to use the most appropriate scale chart for an intended passage so close to land and he failed to make use of other navigational aids in the area.

INDEX OF TABS

Record of Coast Guard Investigation	Tab A
DMA Pub 114, List of Lights and Fog Signals	Tab B
Correspondence File between DMA and Kirilin, Campbell, and Keating	Tab C
Admiralty List of Lights	Tab D
DMA Pub 141, Sailing Directions (Enroute)	Tab E

2 Febru 1978

Memo To File

Subj: SCOTT, Arthur, Lic #454718, Z-360265-D1; possible negligence resulting in the grounding of the SS PIONEER COMMANDER in the vicinity of Muckle Skerry in Pentland Firth on 13 August 1977.

1. The casualty investigation into the grounding of the SS PIONEER COMMANDER concluded that the cause of the casualty was that the master based his navigation on an incorrectly identified aid to navigation.
2. The master was interviewed by the undersigned and the Senior Investigating Officer on 17 January 1978 as to his actions prior to the casualty. It was determined that Captain Scott had consulted Navigational Publication HO 114; advanced a fix on the chart (approx. 20 minutes before the casualty); maintained a lookout for lights in the area and made an identification on one (1) flashing aid; consulted radar as the vessel approached the passage; took bearings on the light, and plotted two (2) LOP's.
3. In spite of these actions, the subject vessel grounded approximately 3.5 miles North of the estimated position. Careful investigation has disclosed unique factors which undermined the master's piloting efforts. For example, it has been determined that HO 114 incorrectly listed the characteristics of the Muckle Skerry light. (The Hydrographic Office has corrected this listing as a result of this casualty.) This error led the master to believe that the light sighted was in fact another aid further South. This prejudiced the master in interpreting the radar which showed scattered blips in an area later confirmed to be open water. These blips were persistent (probable overfalls due to shoal waters) and appeared to be Pentland Skerries.
4. Further investigation has disclosed that the master used due care in navigating the SS PIONEER COMMANDER prior to the grounding. As there is no evidence of occasional misconduct, negligence, inattention to duty, or incompetence, it is recommended that this investigation be closed to file.


DANIEL J. ZEDAN

11. 10.

Officer in Charge
Marine Inspection
BATTERY PARK BUILDING
New York, NY 10004

16732/031657/ENC

DEC - 6 1977

From: Investigating Officer, New York
To: Commandant (C-PMI-1/83)
Via: (1) Officer in Charge, Marine Inspection, New York
(2) Commander, Third Coast Guard District (a)

Subject: SS PIONEER COMMANDER, O.N. 290905; grounding in Pentland Firth, Scotland
on 13 August 1977 with no personnel injuries

Findings of Fact -

1. At approximately 0150 on 13 August 1977, the SS PIONEER COMMANDER grounded
in Pentland Skerries, Pentland Firth, U.K. There was no loss of life or
injury as a result of the casualty.

2. Vessel data is as follows:

NAME: PIONEER COMMANDER
OFFICIAL NO: 290905
SERVICE: Freight
GROSS TONS: 11,105
NET TONS: 6,616
LENGTH: 531 ft.
BREADTH: 75.2 ft.
DEPTH: 29.3 ft.
PROPULSION: Steam
HORSEPOWER: 22,500

HOME PORT: New York
OWNER/OPERATOR: United States Lines, Inc.
MASTER: Arthur Scott

LAST INSPECTION (For Certification)
Date: 29 January 1977
Port: Charleston, S.C.

3. Weather at the time of the casualty was as follows:
Weather: Patchy fog with steadily decreasing visibility
Visibility: 5 miles
Winds: East at 2 knots

I.C. NY rpt 16732/071657

Air Temperature: 52°F
Sea Temperature: 58°F
Sea Conditions: 1 foot from the east
Swells: None

4. All times in this report are zone description -1.

5. THE SS PIONEER COMMANDER is equipped with the following electronic navigational aids:

Radar: RCA, 10 cm model CRM-N2A-30
Decca: Decca Mark 12 navigator
Loran: A and C, Sperry Mark 6
Gyro: Sperry Mark 14 Mod 2A
RDF: RCA Radio Marine AR 8714A
Fathometer: Bloodworth ES 116A

6. At 2130 on 11 August 1977 the SS PIONEER COMMANDER departed Bremerhaven, Germany enroute Bayonne, NJ at a speed of 16 knots. At the time of departure, the drafts of the vessel were recorded as 17'01" forward and 23'05" aft.

7. At 2200, the vessel obtained its last Decca position fix during the transit of the North Sea due to the loss of the southern chain. The vessel then commenced to DR its position till landfall. The Captain stated that the fathometer aboard the vessel was secured because the intended track line did not pass over any bottom configurations which would yield any navigational information.

8. At 0000 The Master of the SS PIONEER COMMANDER went to the bridge. He stated that it is his custom to be on the bridge two hours prior to making a landfall. Also on the bridge was the third officer, Mr. Charles Starr, Lic #481435, who was the watch officer.

9. The Master of the SS PIONEER COMMANDER stated that he consulted H. O. Pub. 114 to ascertain the characteristics of the lights he expected to encounter during the transit of Pentland Firth. H. O. Pub. 114 described the characteristics of the Pentland Skerries Light on Muckle Skerry as follows: Sp. Fl. W. (3) period 20s, fl. 0.4s, ec. 0.1s, fl. 0.4s, ec. 0.1s, fl. 0.4s, ec. 28.6s, H. O. Pub. 114 described the characteristic of Duncansby Head Light as follows: Fl. W. period 6s, fl. 0.7s, ec. 5.3s.

10. At 0015, the loom of an uncharted gas flare from an oil refinery on Flotta Island was sighted. At 0030, the loom of a light which appeared to flash every six seconds was sighted. Based on the six second period, the light was identified by the Master and the mate on the bridge as Duncansby Head Light (Pub. 114 List of Lights No. 7320). The light characteristics were observed visually and were not checked by a stop watch. At 0035, the Master suggested to the mate on watch that he come a little right based on a visual bearing on the six second flashing light. The mate on watch gave an order to come right to a new heading. The Captain then increased the amount of change and the vessel steadied up on a course of 320°T. At that time it was understood by both officers on the bridge that the Master had assumed navigational control of the vessel. The vessel was

I.O. NY rpt 16732/931657

still approximately 20 miles from land by DR and the visibility was good. There was no indication of land on the radar. Both the Master and Mr. Starr have stated that they do not recall the radar range setting at this time. Both officers attempted to visually locate Pentland Skerry Light on Muckle Skerry (Pub. 114 List of Lights No. 7330) without success.

11. At 0100, a bearing 310°T was obtained on the light they had concluded was Duncansby. The Master and Mr. Starr stated that the light on Muckle Skerry still had not been sighted. At 0125, the vessel changed course to 310°T based on the visual bearing. At 0138, the vessel obtained a radar contact which was identified as Muckle Skerry by the Master. The radar was on the six mile scale at the time. Based on the radar contact, identified to be Muckle Skerry, the vessel came to the new course of 225°T to open the target on radar. At this time, visibility started to decrease due to fog, which was closing in from the northwest.

12. At 0148, the vessel changed course to 320°T based on a relative bearing taken by seaman's eye of the flashing light. This course change was a change to the base course for passage through Pentland Firth. As the vessel stood on the new course, a quick flashing light was sighted off the starboard bow. During attempts to obtain a fix from the two available aids to navigation, the vessel grounded.

13. At approximately 0150 the SS PIONEER COMMANDER grounded in a position 117° range, one mile from Muckle Skerry Light. The vessel came to a stop, aground by her midbody, her bow and stern were in good water. The vessel had been making 15 knots since departing Bremerhaven and had not slowed her speed prior to the grounding.

14. Subsequent to the casualty, the Hydrographic Office issued a change to the published characteristic of Pentland Skerry Light on Muckle Skerry. This change appears in Notice to Mariners number 47 dated 19 November 1977. The characteristic listed is changed to Gp. Fl. W. (3) period 30s, fl. 6.4s, ec. 5.6s, fl. 0.4s, ec. 5.6s, fl. 0.4s, ec. 17.6s. (See enclosure 2).

15. The SS PIONEER COMMANDER was refloated on 29 August 1977 with the aid of commercial tugs after extensive lightering and ballasting operations.

16. Permanent repairs to the vessel are being made under the cognizance of the Officer in Charge, Marine Inspection, Rotterdam in the United Kingdom.

17. An agent for the Northern Lighthouse Board, the English agency responsible for the light on Muckle Skerry, has defined the characteristic for the aid to be Gp. Fl. W. (3) period 30s, fl. 0.4s, ec. 5.6s, fl. 0.4s, ec. 5.6s, fl. 0.4s, ec. 17.6s. The Northern Lighthouse Board has further stated that on the night of the casualty, the aid was watching properly. The characteristic of Pentland Skerry Light has not been changed since prior to January 1977. (See enclosure 4).

031
CONCLUSIONS

1. The master of the SS Pioneer Commander incorrectly identified the aid to navigation on Muckle Skerry as the aid to navigation on Duncansby Head.
2. Contributing to the incorrect identification was the incorrect listing in H.O. Pub for the characteristic of Pentland Skerries Light on Muckle Skerry.
3. The master of the SS Pioneer Commander incorrectly identified a radar image of land as Muckle Skerry instead of S Ronaldsay Island.
4. The proximate cause of the casualty was that the master of the SS Pioneer Commander based his navigation on an incorrectly identified aid to navigation during his transit of the area in the vicinity of Muckle Skerry in the Pentland Firth.
5. There is evidence of negligence on the part of the master of the SS Pioneer Commander, Captain Arthur Scott, Lic. No. 454718, in that he failed to maintain, or cause to be maintained, an accurate plot of the vessel's progress during the approach to Pentland Firth.

Recommendations

1. It is recommended that further investigation under the Suspension and Revocation Proceedings be initiated in the case of Arthur Scott, master of the SS Pioneer Commander concerning his part in the casualty.
2. It is recommended that this casualty investigation be closed.

D. W. Gold

Encl: (1) CG Form 2692 re Pioneer Commander
(2) Schematic representation of light characteristics of lights in the vicinity of Pentland Firth.
(3) PORTION OF NO CHART 35141

FIRST ENDORSEMENT ON I.O. rpt 16732/031657

From: Officer in Charge, Marine Inspection, New York
To: Commandant (G-MMI-1/S3)
Via: Commander, Third Coast Guard District (m)

1. Further investigation under the Suspension and Revocation Proceedings has been initiated in the case of Arthur Scott (MIO NY case no 84195)
2. Forwarded, approved.

HTB

I.O. NY rpt 16732/031657

- Conclusions -

1. The Master of the SS PIONEER COMMANDER incorrectly identified the aid to navigation on Muckle Skerry as the aid to navigation on Duncansby Head.
2. H. G. Pub. 114 did not list the correct characteristic for Pentland Skerry Light on Muckle Skerry on the date of the casualty.
3. The Pentland Skerry Light on Muckle Skerry was watching properly on the date of the casualty.
4. The correction to the characteristic listed for Pentland Skerry Light was not published until 19 November 1977 and was not known to the Master of the SS PIONEER COMMANDER on the date of the casualty.
5. Contributing to the incorrect identification was the incorrect listing in H. G. Pub. 114 for the characteristic of Pentland Skerries Light on Muckle Skerry.
6. The Master of the SS PIONEER COMMANDER incorrectly identified a radar image of land as Muckle Skerry instead of S Ronaldsay Island.
7. The proximate cause of the casualty was that the Master of the SS PIONEER COMMANDER based his navigation on an incorrectly identified aid to navigation during his transit of the area in the vicinity of Muckle Skerry in the Pentland Firth.
8. There is evidence of negligence on the part of the Master of the SS PIONEER COMMANDER, Captain Arthur Scott, Lic. No. 45471S, in that he failed to maintain or cause to be maintained, an accurate plot of the vessel's progress during the approach to Pentland Firth.

- Recommendations -

1. It is recommended that further investigation under the Suspension and Revocation Proceedings be initiated in the case of Arthur Scott, Master of the SS PIONEER COMMANDER, concerning his part in the casualty.
2. It is recommended that this casualty investigation be closed.

D. W. GOLD

- Encl: (1) CG 2692 re SS PIONEER COMMANDER
(2) Schematic representation of light characteristics of lights in the vicinity of Pentland Firth
(3) Portion of Chart No. 35141
(4) Ltr from Northern Lighthouse Board dtd 3 Oct 1977

0316-7



SEP 7 1977

MARINE INSPECTION OFFICE
NEW YORK, N. Y.

United States Lines, Inc.

ONE BROADWAY, NEW YORK, N. Y. 10004 • (212) 344-5800 CABLE: SEAPOST

ss Pioneer Commander
Voyage # 71/16
Newcastle Upon Tyne,
25 August 1977

RECEIVED
U. S. COAST GUARD

SEP 07

MARINE INSPECTION OFFICE
NEW YORK

Officer In Charge of Marine Inspection
Port of New York, N.Y.
United States Coast Guard
Battery Park Building
New York, N.Y. 10004

Dear Sir,

Enclosed please find original and two copies of CG 2692 - Report of Vessel

Casualty or Accident - for this vessel, grounded in Pentland Firth, U.K. at 0150 hours
(0050 GMT) on 13 August 1977.

Refloated at 0327 hours (0227 GMT) on 20 August 1977, and proceeded under own power
to Lyness Wharf, Hoy Island, Orkney (Scapa Flow) for bottom inspection and surveys.

Left Lyness Wharf at 1600 hours 23 August 1977.

Arrived Newcastle upon Tyne, U.K. at 1212 hours 24 August 1977 for further surveys and
possible repairs.

I have the good fortune, after refloating my vessel, to report no loss of life nor
personal injury to the member of my crew.

Respectfully yours,

Captain Arthur Scott,
Master, ss Pioneer Commander

Copies: Master's File
USL, New York.

... (14)
 ...
 ...

without delay, to the Officer in Charge, Marine Inspection, in whose district the casualty occurred, or in whose district the vessel first arrived after such casualty.
 2. If the person making the report to a licensed officer ^{of the Coast Guard} is not required to be manned by such officer, he must make the report in writing and in person to the proper Marine Inspector. If because of distance it may be inconvenient for such an officer to submit the report in person, he may submit the required number of copies by mail. However, to avoid delay in investigation, it is desired that reports be submitted in person.

3. This form should be completed in full; blocks which do not apply to a particular case should be indicated as "N/A".
 If the names of the persons who were injured or killed are unknown or none, they should be indicated as "N/A". All copies should be signed and dated by the reporting officer. Report all deaths and injuries, which incapacitated in excess of 72 hours, on CG-924E whether or not there was a vessel casualty.
 Attach separate Form CG-924E to this report for each person killed or injured and incapacitated in excess of 72 hours as a result of the vessel casualty reported herein

10: Officer in Charge, Marine Inspection, Port of NEW YORK, N.Y. DATE SUBMITTED 25 August 1977

I PARTICULARS OF VESSEL

1. NAME OF VESSEL SS PIONEER COMMANDER		2. OFFICIAL NUMBER 290905		3. HOME PORT New York, N.Y.		4. NATIONALITY U S A	
5. TYPE OF VESSEL (Full, passenger, tank, etc) Freighter		6. PROPULSION (Steam, diesel, etc) Steam		7. GROSS TONNAGE 11,105		8. REGISTERED LENGTH OR L O A 550' 06"	
9. HULL MATERIALS Stell		10. YEAR BUILT 1963		11. RADIO EQUIPMENT <input checked="" type="checkbox"/> TRANSMIT <input checked="" type="checkbox"/> RECEIVE <input checked="" type="checkbox"/> VOICE <input type="checkbox"/> CW (Key)			
12. (a) RADAR EQUIPPED <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO				(b) IF YES, RADAR OPERATING AT TIME OF CASUALTY <input type="checkbox"/> YES <input type="checkbox"/> NO			
13. (a) CERTIFICATE OF INSPECTION ISSUED AT PORT OF Charleston, S. C. U.S.A.				(b) DATE CERTIFICATE OF INSPECTION ISSUED 29 January 1977			
14. (a) NAME OF MASTER OR COMMANDER (indicate which) Arthur Scott				(b) DATE OF BIRTH 24 Nov. 1921		(c) LICENSED BY COAST GUARD <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	
15. (a) NAME OF PILOT (if on board at time of accident) N/A				(b) PILOT SERVING UNDER AUTHORITY OF LICENSE ISSUED BY <input type="checkbox"/> USCG <input type="checkbox"/> STATE <input type="checkbox"/> FOREIGN			
15. (a) NAME OF OWNER(S), OPERATOR(S) OR AGENT (indicate which) UNITED STATES LINES, INC.				(b) ADDRESS OF OWNER(S), OPERATOR(S), OR AGENT One Broadway, New York, N.Y. 10004			

II PARTICULARS OF CASUALTY

17. (a) DATE OF CASUALTY 13 August 1977		(b) TIME OF CASUALTY (Local or zone) 0150		(c) ZONE DESCRIPTION Minus 1		(d) TIME OF DAY <input type="checkbox"/> DAY <input checked="" type="checkbox"/> NIGHT <input type="checkbox"/> TWILIGHT			
18. LOCATION OF CASUALTY (Latitude and longitude; distance and TRUE bearing from charted object; docks; anchorage; etc.) Position: Lat: 58° 24.1' N; Long: 02° 53.6' W.									
19. BODY OF WATER (Geographical name) Pentland Firth, U.K.		20. RULES OF THE ROAD APPLICABLE <input checked="" type="checkbox"/> INTERNATIONAL <input type="checkbox"/> INLAND <input type="checkbox"/> GREAT LAKES <input type="checkbox"/> WESTERN RIVERS <input type="checkbox"/> OTHER (Specify)							
21. (a) DID CASUALTY OCCUR WHILE UNDERWAY: <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO				(b) IF YES, LAST PORT OF DEPARTURE Bremenhaven, Germany				(c) IF YES, WHERE BOUND WHEN CASUALTY OCCURRED Bayonne, N.J. U.S.A.	
22. (a) WEATHER CONDITIONS WHEN CASUALTY OCCURRED: <input type="checkbox"/> CLEAR <input type="checkbox"/> PARTLY CLOUDY <input type="checkbox"/> OVERCAST <input checked="" type="checkbox"/> FOG <input type="checkbox"/> RAIN <input type="checkbox"/> SNOW <input type="checkbox"/> OTHER (Specify)									
(b) VISIBILITY (Miles, yards, ft., etc.) From moderate to zero		(c) WIND DIRECTION East		(d) FORCE IN KNOTS 2 knots		(e) CUSTY <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO			
(f) AIR TEMPERATURE 52°F		(g) SEA CONDITIONS WHEN CASUALTY OCCURRED Light sea		(h) SEA WATER TEMP (if available) 58°F		(i) HEIGHT OF SEA 1 foot			
(j) DIRECTION OF SEA East		(k) HEIGHT OF SWELL N/A		(l) DIRECTION OF SWELL N/A		(m) AMOUNT OF BULK LIQUID (Long tons) N/A			
(n) AMOUNT OF DRY CARGO (Long tons) 757 Tons		(o) AMOUNT OF DEAD LOAD (Long tons) 21 1/2 Tons		(p) DRAFT FORWARD 17' - 01"					
(q) DRAFT AFT 23' - 05"				(r) TYPES OF LIFESAVING EQUIPMENT USED, IF ANY N/A		(s) LIFESAVING EQUIPMENT SATISFACTORY <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO (If no, explain in block)			

Pentland

PC:

ESTIMATED LOSS/DAMAGE TO OTHER PROPERTY \$
(Specify whether: vessel, dock, bridge, etc.)

29. NATURE OF THE CASUALTY (Check one or more of the following. Give pertinent details in item 30.)	
COLLISION WITH OTHER VESSEL(S) (Specify)	<input checked="" type="checkbox"/> COLLISION WITH OTHER VESSEL(S)
COLLISION WITH FLOATING OR SUBMERGED OBJECTS	<input type="checkbox"/> COLLISION WITH FLOATING OR SUBMERGED OBJECTS
COLLISION WITH FIXED OBJECTS (Piers, bridges, etc.)	<input type="checkbox"/> COLLISION WITH FIXED OBJECTS
COLLISION WITH ICE	<input type="checkbox"/> COLLISION WITH ICE
COLLISION WITH AIDS TO NAVIGATION	<input type="checkbox"/> COLLISION WITH AIDS TO NAVIGATION
COLLISION (Other)	<input type="checkbox"/> COLLISION (Other)
EXPLOSION/FIRE (Involving cargo)	<input type="checkbox"/> EXPLOSION/FIRE (Other)
EXPLOSION/FIRE (Involving vessel's fuel)	<input type="checkbox"/> GROUNDING
FIRE (Vessel's structure or equipment)	<input type="checkbox"/> FOUNDER (Sinking)
EXPLOSION (Galleys and associated parts)	<input type="checkbox"/> CAPSIZING WITHOUT SINKING
EXPLOSION (Pressure vessels and compressed gas cylinders)	<input type="checkbox"/> FLOODING, SWAMPING, ETC. WITHOUT SINKING
	<input type="checkbox"/> HEAVY WEATHER DAMAGE
	<input type="checkbox"/> CARGO DAMAGE (No vessel damage)
	<input type="checkbox"/> MATERIAL FAILURE (Vessel structure)
	<input type="checkbox"/> MATERIAL FAILURE (Engineering machinery, including main propulsion, auxiliaries, boilers, evaporators, deck machinery, electric, etc.)
	<input type="checkbox"/> EQUIPMENT FAILURE
	<input type="checkbox"/> CASUALTY NOT NAMED ABOVE

30. DESCRIPTION OF CASUALTY (Events and circumstances leading to casualty and present when it occurred. Attach diagram and additional sheets, if necessary)

Grounded in Pentland Firth on Skerries, Bearing 177°T, Dist. 1 mile from Muckle Skerry Light.

31. DAMAGE (Give brief general description and state if vessel is a total loss)

Unknown at this time. Subject to dry dock examination. Re-floated 20 August 1977 at 0327 (-1) hours. Proceeded to Lyness Wharf, Scapa Flow for inspections and to Newcastle-Upon-Tyne for surveys and repairs. Arrived Newcastle 1212 (-1) hours 24 August 1977.

I.O. NOTE The vessel's bottom plating was set in and holed in various locations. There is damage to internals and tank-top plating concentrated in number three and number four holds.

III ASSISTANCE AND RECOMMENDATIONS

32. AUTO ALARM TRANSMITTED BY YOUR VESSEL: YES NO MAYDAY broadcast and answered.

33(a) ASSISTANCE RENDERED BY STATIONS AND VESSELS (Include Coast Guard and other stations and vessels)
Orkney radio, Orkneys and Wick radio Scotland, performed valuable assistance in communications via VHF radio.

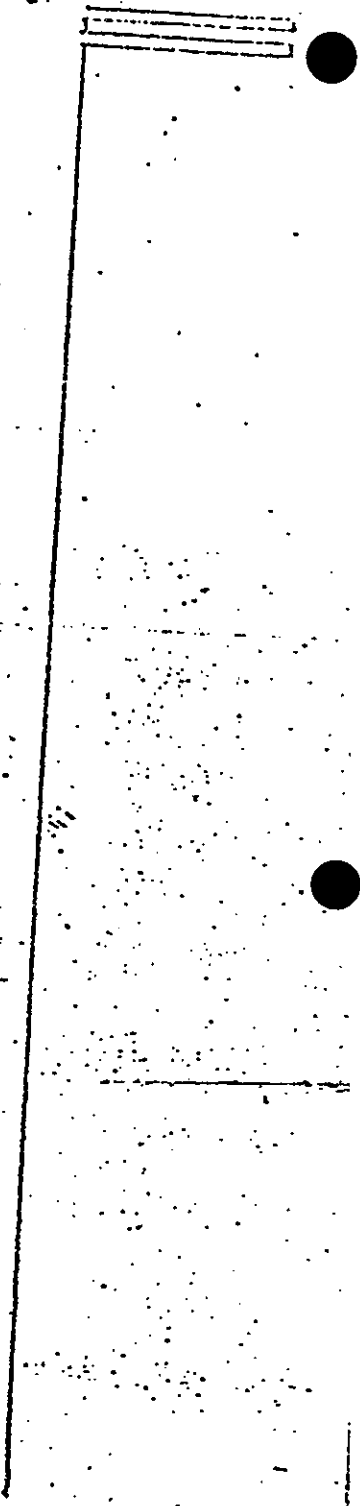
(b) OTHER ASSISTANCE RENDERED
Wick, Scotland, lifeboat and Longhope, Orkney, lifeboat stood by.

34. RECOMMENDATIONS FOR CORRECTIVE SAFETY MEASURES PERTINENT TO THIS CASUALTY (Include explanation of unsatisfactory lifesaving equipment)

None at this time.

TITLE
Arthur Scott, Master, SPSIONEER COMMANDER

SIGNATURE
A Scott



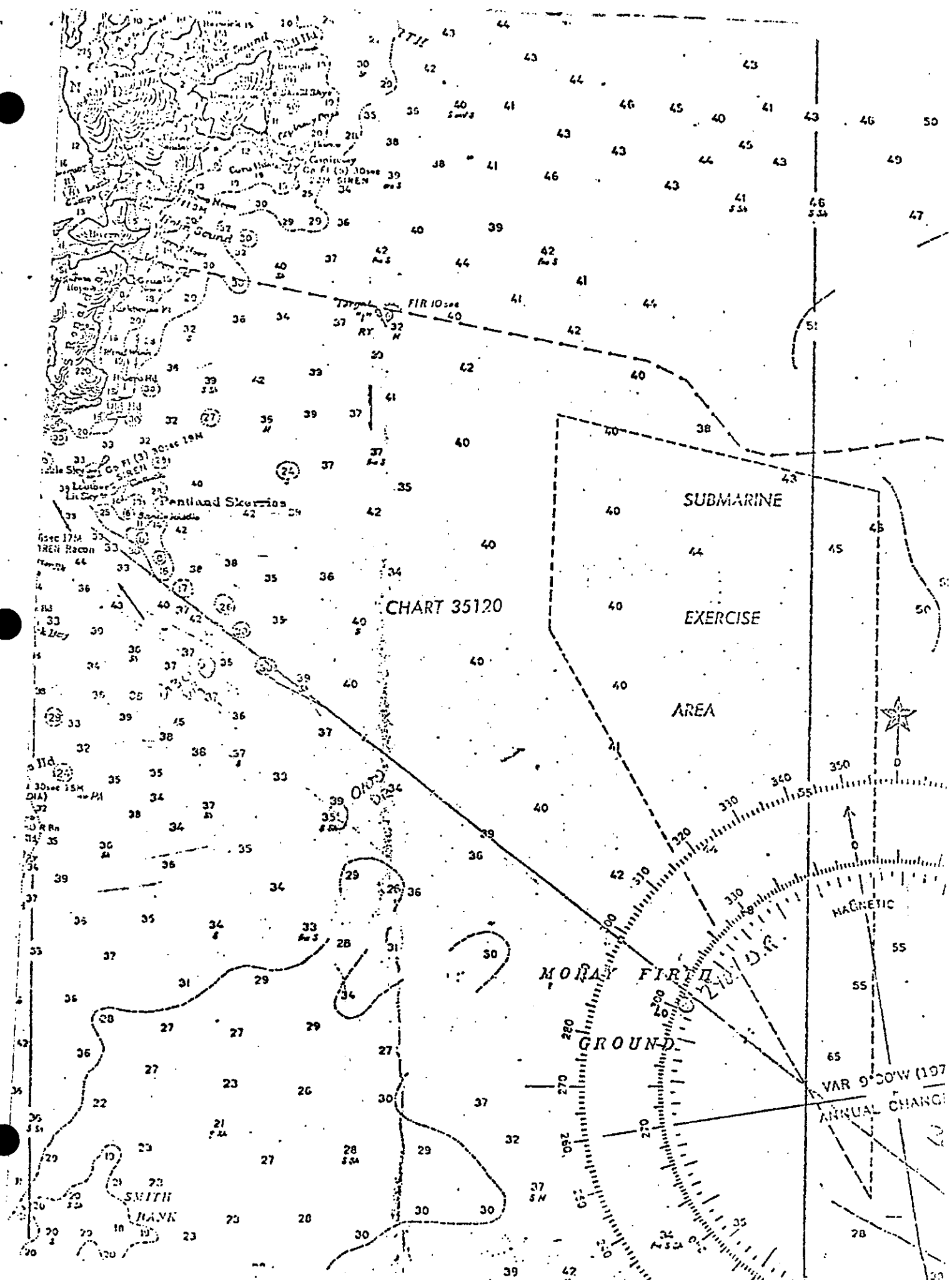


CHART 35120

SUBMARINE

EXERCISE

AREA

MORAY FIR II
GROUND

MAGNETIC

VAR 9° 00' W (197)
ANNUAL CHANGE

SMITH BANK

OLVY

FIR 10

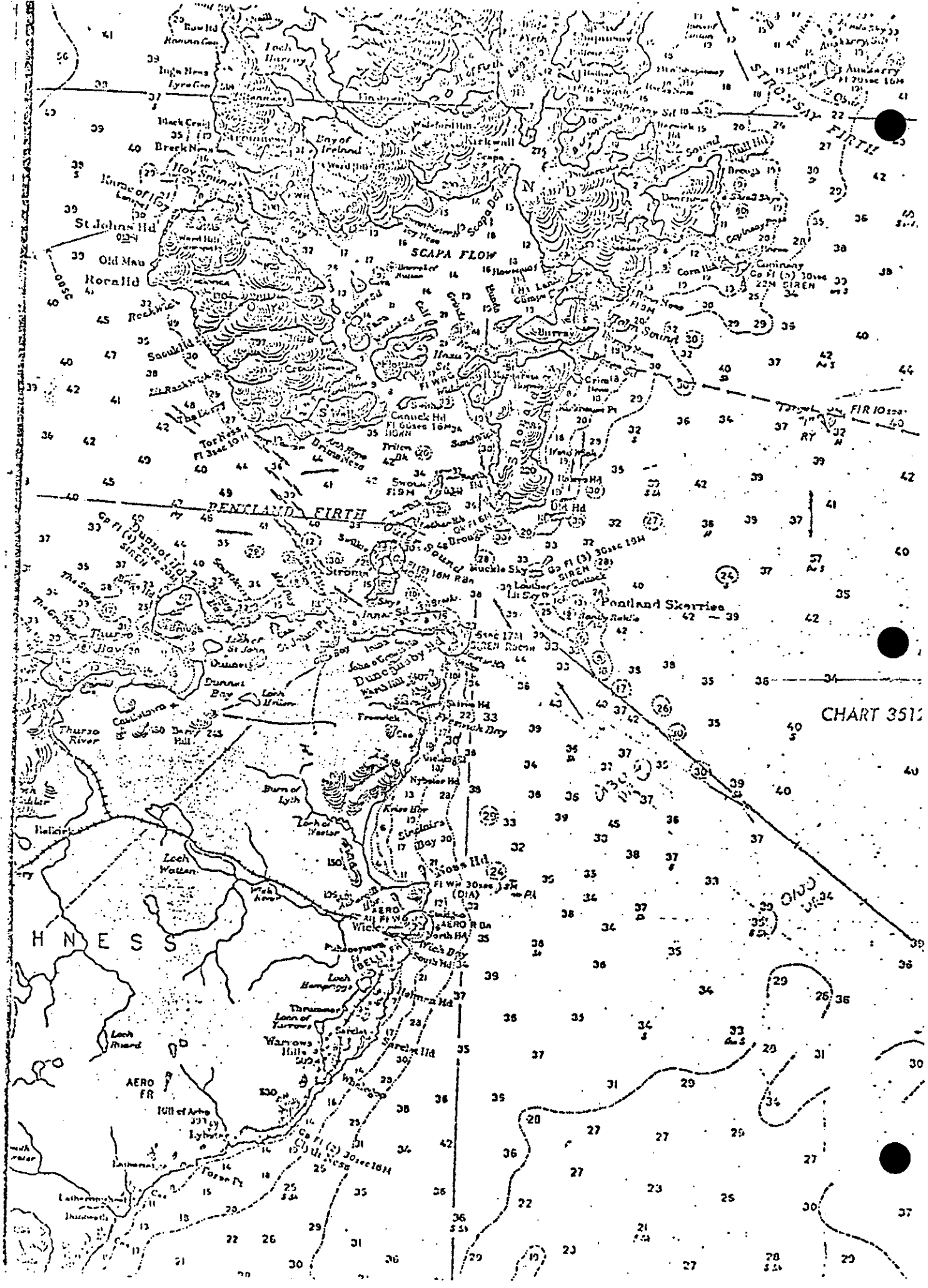


CHART 3512

4105/77

NOTICE TO MARINERS

*W. B. R. Room
H. B. R.*

PUBLISHED WEEKLY BY THE
DEFENSE MAPPING AGENCY HYDROGRAPHIC CENTER

PREPARED JOINTLY WITH THE
NATIONAL OCEAN SURVEY AND U.S. COAST GUARD



RECEIVED
LIC. & CERT. SEC.

NOV 17 1977

MARINE INSPECTION OFFICE
NEW YORK, N.Y.

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19 NOVEMBER

SECTION II
CORRECTIONS TO PUB 112, LIST OF LIGHTS, 21 MAY 1977 EDITION— Continued

15310 F 2502	San Miguel Island, about 200 feet from NW. extremity.	12 43 123 35	Gp. Fl. W. (3)..... period 15 ^s	222 68	5 Concrete tower; 36.....	Visible 6°-203°.	47/77
16863	— W. breakwater.....	37 03 129 25	Fl. G..... period 3 ^s	36 11	2 White quadrangular iron framework; 27.		47/77
18870 F 4478	— E. head of detached breakwater.	36 41 129 28	Fl. G..... period 5 ^s	30 9	2 White square iron framework tower; 22.		47/77
18930 F 4470	— Head of S. breakwater...	36 30 129 27	Fl. G..... period 3 ^s	33 10	2 White square iron tower; 30.		47/77
18950 F 4475	— No. 1 Light, head of W. breakwater.	Fl. G..... period 3 ^s	30 9	5 White square iron framework structure; 32.		47/77
22000 F 3600	Hsiung-Ti Tso	23 32 117 41	Gp. Fl. W. (3)..... period 6 ^s	5		47/77
24235 F 2855.7	Pulau Perhentian Besar	5 53 102 45	Fl. W..... period 7 ^s	145 44	5 Pedestal on rock		47/77
33000 K 0104	— Extension of S. breakwater.	35 57 25 39	Fl. W..... period 2 ^s	Marks works in progress (1977)	47/77

CORRECTIONS TO PUB 113, LIST OF LIGHTS, 15 JANUARY 1977 EDITION

8355 E 0518	Cop Louate	42 55 3 03	Gp. Fl. W. (2)..... period 10 ^s fl. 0.2 ^s , ec. 7.3 ^s fl. 0.2 ^s , ec. 2.3 ^s	216 66	21 White pyramidal tower, red top; 57.		47/77
15251	— Refuge harbor, head of west mole.	F. R.....	26 8	4 Pile, red and white bands..		47/77
15252	— Head of wharf.....	F. R., F. G. (vert.)	43 13	4 Pile, red and black bands..		47/77
41351 D 5834	— Marcus Island, S. side...	33 03 17 58	Gp. Fl. W. (2)..... period 10 ^s fl. 5 ^s , ec. 2.5 ^s fl. 0.5 ^s , ec. 6.5 ^s	59 18	10 Lattice mast.....		47/77
41356 D 5833	— Eland Point.....	33 04 17 58	Fl. W..... period 5 ^s	114 35	9 Metal framework tower.....		47/77

CORRECTIONS TO PUB 114, LIST OF LIGHTS, 6 AUGUST 1977 EDITION

7330 A 3562	Pentland Skerries, on Muckle Skerry.	58 41 2 55	Gp. Fl. W. (3)..... period 30 ^s fl. 0.4 ^s , ec. 5.6 ^s fl. 0.4 ^s , ec. 5.6 ^s fl. 0.4 ^s , ec. 17.6 ^s	170 52	19 White tower; 118.....	Siren (old lighthouse) 1 bl. ev. 90 ^s Distress signals.	47/77
----------------	--------------------------------------	---------------	---	-----------	--------------------------	---	-------

Note.—*Indicates that column in which a correction has been made or new information added.

KIRLIN, CAMPBELL & KEATING

ONE TWENTY BROADWAY

NEW YORK, N. Y. 10005

212-732-5520

CABLEGRAMS "VASEFIELD NEWYORK"

TELEX: ITT 422210

WUI 62344

WU 12-0100

November 30, 1977

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JAMES J. HIGGINS
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CHARLES MAECHLING, JR.
G. BROGAWEL METLIN

OUR REF. 84928

BY HAND

Officer in Charge
Marine Inspection
United States Coast Guard
Battery Park Building
New York, N. Y. 10004

Attention: Lt. Gold

SS PIONEER COMMANDER

Stranding, August 13, 1977

Your Ref: 16732/031657/DWG

Dear Lt. Gold:

Pursuant to our telephone conversation this morning, we received the following information concerning the Muckle Skerry Light from our correspondent counsel in England:

"RE YOUR TELEX 11TH OCTOBER. DETAILS OF PENTLAND SKERRIES LIGHT IN RELEVANT PUBLICATION (ADMIRALTY LIST OF LIGHTS AND FOG SIGNALS, VOLUME A.1977, BRITISH ISLES AND NORTH COAST OF FRANCE) AS FOLLOWS:-

1. NO. 3562
2. NAME-POSITION PENTLAND SKERRIES, MUCKLE SKERRY (N)
3. LAT./LONG 58 41.4
2 55.4
4. CHARACTERISTICS GP.FL (3)W 30S
INTENSITY SIREN 90 S.
5. ELEVATION 52 METRES
6. LUMINOUS RANGE 25
7. STRUCTURE HEIGHT IN WHITE TOWER 36 METRES
8. REMARKS FL 0.4, 3 TIMES IN QUICK SUCCESSION.
DISTRESS SIGNALS.

"THE PUBLICATION IS STATED TO BE CORRECTED TO
ANM WEEKLY EDITION NO. 1/77 DATED 15TH JANUARY 1977.

OUR ENQUIRIES AFTER THE STRANDING REVEALED THAT NO
CORRECTIONS REGARDING ENTRY FOR PENTLAND SKERRIES LIGHT
HAD BEEN MADE SINCE DATE OF PUBLICATION UP TO 13TH AUGUST

Subsequent to that, we received a copy of a letter from
the Northern Lighthouse Board to our correspondent counsel which
details the characteristics of Muckle Skerry Light and we enclose
a copy for your reference.

If you have any further questions, please do not hesitate
to call us.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

By:


Harry A. Gotimer

HAG:tfc.

Enc.

PUB. 114

LIST OF LIGHTS

AND FOG SIGNALS

1976

(28 August)

IMPORTANT
THIS PUBLICATION SHOULD
BE CORRECTED EACH
WEEK FROM THE
NOTICE TO MARINERS

BRITISH ISLES, ENGLISH CHANNEL
AND NORTH SEA



PUBLISHED BY THE DEFENSE MAPPING AGENCY
HYDROGRAPHIC CENTER
WASHINGTON, D.C. 20390

(1) No.	(2) Name and location	(3) Position Lat. Long.	(4) Characteristic	(5) Height	(6) Range (miles)	(7) Structure, height (feet)	(8) Sectors, Remarks, Fog signals
SCOTLAND-NORTH COAST							
7320 A 3558	Dunconaby Head.....	N. W. 58 39 3 01	Fl. W. period 6 ^s fl. 0.7 ^s , ec. 5.3 ^s	220 67	17	White tower; 36.....	Siren: 5 bl. ev. 2 min. Rocon.
7330 A 3567	Pentland Skerries, on Muckle Serry.	58 41 2 55	Gp. Fl. W. (3) period 30 ^s fl. 0.4 ^s , ec. 0.1 ^s fl. 0.4 ^s , ec. 0.1 ^s fl. 0.4 ^s , ec. 23.6 ^s	170 52	19	White tower; 118.....	Siren: (old lighthouse) 1 bl. ev. 90 ^s Distress signals.
7340 A 3566	Lother Rock	58 44 2 59	Qk. Fl. W.	36 11	6	Black pyramidal beacon; 40.	
7350 A 3568	Stroma, Swaikie Point	58 42 3 07	Gp. Fl. W. (2) period 20 ^s 2 fl. each 0.5 ^s	85 26	16	White tower; 74.....	Horn: 2 bl. ev. 60 ^s in quick suc- cession. Radiobeacon. Distress signals.
7360 A 3574	Dunnet Head	58 40 3 22	Gp. Fl. W. (4) period 30 ^s fl. 1 ^s , ec. 2 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 14 ^s	346 105	20	White stone tower; 66	Siren: 3 bl. in quick succession ev. 90 ^s .
7370 A 3578	Holburn, Little Head, W. side of Thurso Bay.	58 37 3 32	Fl. W. R. period 10 ^s fl. 1 ^s , ec. 9 ^s	75 23	W. 15 R. 11	White tower; 55	W. 198°-358°, R.—shore. Horn: 1 bl. ev. 20 ^s .
7372 A 3590	Strath Point.....	58 36 4 01	Fl. W. period 20 ^s fl. 0.5 ^s , ec. 19.5 ^s	146 45	18	White low tower on white dwelling; 45.	Diaphone: 4 bl. ev. 90 ^s .
7380 A 3580	Thurso, N. head of break- water.	58 36 3 30	F. R.	15 5	4	Red post; 10	Shown from Sept. 1 to Apr. 30.
7390 A 3582	— Frost		F. G.	15 5	4	White post; 10.....	
7390.1 A 3582.1	— — Rear, about 195° from frost.		F. C.	20 6	4	White post; 15.....	
7400 A 3586	Scrabster Harbor, head of E. pier.	58 37 3 33	F. W.	10 3	4	White post; 9.....	Shown from Aug. 1 to May 31.
7401 A 3583	— Outer pier	58 37 3 33	Qk. Fl. R.		3	
7410 A 3586	— Head of W. pier		F. R.	10 3	4	White circular tower; 9 ...	Shown from Aug. 1 to May 31.

SCOTLAND-ORKNEY ISLANDS

7420 A 3566	Swona, near S.W. extremity...	58 44 3 04	Fl. W. period 8 ^s fl. 2 ^s , ec. 6 ^s	57 17	9	White tower; 22.....	Obscured 210°-261°.
7430 A 3500	Ter Ness, S. side of Hoy Island.	58 47 3 13	Fl. W. period 3 ^s fl. 1 ^s , ec. 2 ^s	64 20	9	White tower on concrete base; 22.	
7440 A 3502	Cattick Head	58 47 3 03	Fl. W. period 20 ^s fl. 0.5 ^s , ec. 19.4 ^s	115 35	17	White tower; 73.....	Storm signals. Horn: 1 bl. ev. 30 ^s . Distress signals.

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CHARLES MAECHLING, JR.

February 23, 1979

Director,
DMA Hydrographic Center
Washington, D.C. 20390

OUR REF. 84928

Re: Freedom of Information Act Request

Dear Sir:

On behalf of our client, United States Lines, Inc., and pursuant to the Freedom of Information Act (5 U.S.C. §552) and your regulations implementing it (15 C.F.R. Part 295), we hereby request that you furnish us with copies of the following documents. The term "records" as used herein shall be defined as in accordance with 15 C.F.R. Part 295 § 295.4, and shall include the British Admiralty weekly Notices to Mariners if used by your agency.

1. With regard to Muckle Skerry Light contained in the List of Lights, Pub. 114, 1976 Edition, Light No. 7915, all records referred to or relied upon in preparation of that entry, as well as all changes from 1938 to the present.
2. With regard to Pentland Skerries Light on Muckle Skerry contained in the List of Lights, Pub. 114, 1976 Edition, Light No. 7330, all records referred to or relied upon in preparation of that entry, as well as all changes from 1938 to the present.

This request constitutes notice of demand for production of the above-referenced documents for purposes of inspection and copying. If for any reason it is determined that any documents requested herein will not in whole or in part be complied with, prompt notice of any action taken is solicited. In addition, the

undersigned requests notice as promptly as possible of all documents or portions of documents which can and will be made available and that all documents which will not be made available be indexed and identified by stating the title, author, date, nature of such material, and the reason(s) for nonavailability.

This demand shall be considered an appeal from any decision denying any portion of this request, and prompt notice of the action taken with respect to such appeal is requested.

Please advise the undersigned of the cost imposed pursuant to your regulations for complying with this request and it shall be promptly paid.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

By: 
Harry A. Gotimer

HAG:tfc.



DEFENSE MAPPING AGENCY
HYDROGRAPHIC/TOPOGRAPHIC CENTER
WASHINGTON, D.C. 20315

REPLY TO
ATTENTION OF:
DMAHTC-CO

12 MAR 1979

Kirlin Campbell and Keating
ATTN: Harry A. Gotimer, Esq.
120 Broadway
New York, NY 10005

Your reference: 84928

Dear Mr. Gotimer: .

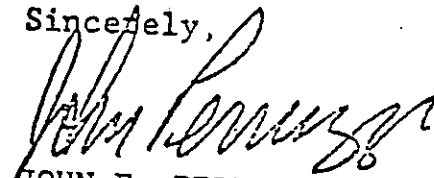
We refer to your letter of 23 February 1979 in which you requested inspection and copying of documents relating to Muckle Skerry Light and Pentland Skerries Light, under the Freedom of Information Act.

Your letter was received in the cognizant office of this Center on 8 March 1979, and it will be necessary to search for, collect and examine a number of records to comply with your request.

We will advise you as soon as the available documents have been identified and the costs determined, so that you can decide whether you wish to inspect them or have copies sent to you.

Please note the change in our name and address which became effective on 18 September 1978.

Sincerely,


JOHN E. PERRUZZI
Counsel

Blind cc:
IV

DIRECTIONS

General.—Large vessels, with sufficient power to stem an unfavorable tide, will experience no difficulty in navigating Pentland Firth. The shores are danger-free beyond a short distance off, and the channels are wide and deep. Outer Sound is the channel generally used, although Inner Sound may be used when the tidal currents are unfavorable.

At night Outer Sound only should be used. The light on Muckle Skerry in range with the light on the N end of Stroma, bearing 094°, leads through the W entrance of Pentland Firth. When about 2 miles W of the light on Stroma, vessels should edge N so as to give the light a berth of about ½ mile. After passing the island of Stroma, vessels should gradually bring the light on the S end of the island of Swona to bear 526° astern, maintaining this bearing to pass between Duncansby Head and Pentland Skerries.

In hazy weather extreme caution is necessary, and in foggy weather, vessels from W should not proceed E of Strathy Point, which lies about 20 miles W of the W entrance point.

Vessels proceeding W through Inner Sound, during the strength of the E current, after passing Huna Ness, should keep somewhat N, in order to avoid being set toward Quoys Ness and into Gillis Bay.

Directions—Low-Powered Vessels.—The following directions are given for low-powered vessels that may experience some difficulty in navigating the firth. A pilot should be employed by these low-powered vessels that are not familiar with the navigation of the firth.

The term, low-powered vessels, applies to vessels capable of a speed of no more than 10 knots.

Vessels approaching from W with the E current, when within 1½ miles of Stroma, and intending to pass through Inner Sound, should keep Duncansby Head bearing less than 110° and open S of Mell Head, to avoid getting out of the fair current. No special directions are necessary until well up to St. John's Point, when Inner Sound should be used if at the early part of the current, and Outer Sound if at the latter part. Vessels must take care in the latter case to avoid the eddy on the E side of Stroma, and to keep in mid-channel between Duncansby Head

and the Pentland Skerries so as to retain the last of the E current.

Outer Sound is always to be preferred by large vessels because of its width and the rate of the fair current, but not of course with an adverse current.

Vessels approaching from W during the W current, if the sea is not too heavy, should approach Dunnet Head to a distance of about ½ mile, and then steer directly for the center of Stroma, under which there will be less set and current. Vessels that cannot stem the adverse current should keep near the E side of Dunnet Head, haul into Brough Bay, and keep within ½ mile of the coast thence to St. John's Point. When thus far, if the current continues strong, they should stand right across the race named the Merry Men of Mey into the eddy W of Stroma. Thence, from close under Mell Head, they should steer across into Gillis Bay, and along the coast, within ½ mile of it, until Duncansby Head has been rounded. Alternately they may keep to the N side of the channel, for on either side of Inner Sound slack water and possibly a fair eddy current will be experienced while the main current in the center of Inner Sound is W.

Vessels approaching from W in thick weather are advised to heave to abreast Strathy Point, and on no account should attempt to pass through the firth.

Vessels approaching from W, at night, if Holborn Head has been identified before dark, are advised to anchor in Scrabster Road and await the E current. With normal visibility and a fair current the directions given for full-powered vessels will apply.

Vessels approaching from SE, during the easterly current, should keep close to the coast northward of Freswick Bay, the N entrance point of which is located about 3 miles S of Duncansby Head Light, for along this coast to Duncansby Head there are 10 hours of slack water, and there is probably also a N eddy, during part, at least, of this period. By doing this a vessel will be ready to round the head at the turn of the current, whereas by keeping in mid-channel over toward the Pentland Skerries, where the SE current continues for about 1 hour after high water at Dover, the risk is run of being carried SE. In rounding Duncansby Head, care must be taken to avoid the several dangers lying close off it.

20 MAR 1979

DMAHTC-NVS G.R.DeYoung/GS/14/73149/bhf/16 Mar 79/R.S. None

Kirlin, Campbell & Keating
Attn: Mr. Harry A. Gotimer, Esq.
120 Broadway
New York, N.Y. 10005

Your Reference: 84928

Dear Mr. Gotimer:

In response to your request of 23 February 1979, in which you requested inspection and copying of documents relating to Muckle Skerry Light and Pentland Skerries Light, the following is submitted:

MUCKLE SKERRY LIGHT (PUB. 114, NO. 7915)

Muckle Skerry Light was first published by this Center as an addition to Pub. 114 in Weekly Notice to Mariners No. 46, dated 14 November 1964 (Enclosures 1 and 2), and incorporated in Change 4 to Pub. 114, dated 26 December 1964 (Enclosure 3). The source of this information was the British Admiralty Weekly Notice to Mariners No. 38 of 1964, Sections II and V. Individual Admiralty Notice to Mariners are not retained by this Center, therefore we are unable to provide copies of the original source material. However, the British Admiralty does provide this Center with bound copies of the chart correction portion (Section II) annually. A copy of the British Notice establishing Muckle Skerry Light is provided (Enclosure 4).

The range and candlepower of Muckle Skerry Light was amended in Change 13 to Pub. 114, dated 21 October 1967 (Enclosure 5). Presumably the source for this correction was the British Admiralty List of Lights, Volume A of that era. This Center does not retain obsolete or canceled foreign List of Lights, consequently we are unable to confirm or provide a copy of this source.

The international number for Muckle Skerry Light was changed in Change 18, dated 28 June 1969 (Enclosure 6). The source for all international numbers is the British Admiralty List of Lights of the era. As stated above, obsolete or canceled foreign List of Lights are not retained.

The candlepower of Muckle Skerry Light was deleted in the 1973 edition of Pub. 114 (Enclosure 7) and the height in meters added. These changes were editorial format changes only, with no reference made to other documents.

At the time of this writing there has been no known change to Muckle Skerry Light since the 1973 edition of Pub. 114.

PENTLAND SKERRIES LIGHT (PUB. 114, NO. 7330), (FORMERLY PUB. 33)

Pentland Skerries Light as carried in the 1937 edition of H.O. Pub. 33 is provided as Enclosure 8. The first modification to this entry was in the 1948 edition of H. O. Pub. 33 (Enclosure 9), when the index number was changed. This was an editorial change with no reference made to other documents.

The next published change occurred in the 1954 edition of H.O. Pub. 33 (Enclosure 10) when the international number was added. The source for the international number was the British Admiralty List of Lights of that era (not retained). At the same time the index number was again changed and light characteristic editorialized without reference to other documents.

The candlepower, structure description and fog signal characteristic description were amended in the first edition (November 1959) of Part III to H.O. Pub. 33 (Enclosure 11). The source material for these amendments was not retained.

The structure description and remarks column were amended in the Third Edition of Pub. 114 dated 14 September 1963 (Enclosure 12). The source material for these amendments was not retained.

The next change pertaining to Pentland Skerries Light was in Change 5 of 27 March 1965 (Enclosure 13). Your Office was advised of this amendment in our letter of 14 November 1977.

The international number and remarks column were amended in Change 18 of 28 June 1969 (Enclosure 14), again source material was not retained.

Height in meters was added to Pentland Skerries Light in Change 20 issued January 1971 (Enclosure 15) and the candlepower was deleted from the 1973 edition of Pub. 114 (Enclosure 16). These were editorial format changes where reference to other documents was not made.

The next and final change to Pentland Skerries Light was provided as Attachment B to your letter of 14 October 1977(Enclosure 17). This information was published in Notice to Mariners No. 47 of 19 November 1977(Enclosure 18), and included in the 1978 edition of Pub. 114 (Enclosure 19).

DMA Instruction 5400.7A requires that a charge of two hundred sixty-four dollars be assessed for providing copies of these documents. Please make your check in this amount payable to the Treasurer of the United States and forward it to the undersigned.

Sincerely,

151

JOHN E. PERRUZZI
Counsel

19 Enclosures a/s

cc:
NV
DMAHQ-Counsel
DMAHTC-Counsel
NVS

(6071) ORKNEY ISLANDS—North Ronaldsay—Nouster—Light changed.—
The light (59°21'25" N., 2°26'25" W. approx.) has been changed to *Qk. Fl. R.*
(N.M. 46/64.)

(N.M. 37(1728), London, 1964.)
H.O. Chart 4465.
H.O. Pub. 114, No. 7730.
H.O. Pub. 34, 1950, page 183.

(6072) SHETLAND ISLANDS—Out Skerries—Muckle Skerry—Light estab-
lished.—A light, *Gp. Fl. W.R.G.* (2) 10 sec. 44 ft. 10, 6, 6 M. has been established
413 miles 252°30' from Out Skerries Light (60°25'30" N., 0°43'36" W. approx.).
The light shows *white* from 046° to 192°, *red* thence to 272°, *green* thence to 348°,
white thence to 353°, *red* thence to 046°. It is shown from a white framework
tower, 11 feet high.

(N.M. 46/64.)

(N.M. 38(1758), London, 1964.)
H.O. Charts 4656, 4669, 4442, 4243.
H.O. Pub. 114, No. 7915.
H.O. Pub. 34, 1950, page 314.

(6073) ENGLAND—East coast—River Thames Entrance—East Swin—
Wreck.—A depth of 6 fathoms 3 feet "Wreck" will be charted 1.28 miles 002°30'
from Little-Sunk Beacon (51°41'55" N., 1°24'50" E. approx.).

(N.M. 46/64.)

(N.M. 37(1728), London, 1964.)
H.O. Chart 4478.
H.O. Pub. 35, 1951, page 212.

(6074) NORTH SEA—Belgium—Wester Schelde—Zeebrugge approach—
Buoy moved and numbered.—The lighted buoy (51°20'50" N., 3°12'18" E.
approx.) has been moved and reestablished in 51°20'57.5" N., 3°12'52.5" E. and
numbered "Z2."

(Cancel N.M. 40(5180) 1964.)

(N.M. 46/64.)

(A.B.N. 15(168), Oostende, 1964.)
H.O. Chart 4994.
H.O. Pub. 36, 1959, page 116.

No.	Name and location	Position, lat., long.	Characteristics and power	Light height (feet)	Range actual (miles)	Structure, height (feet)	Notes, Remarks, Flag signals.
7730 <i>A1771</i>	— Nouster, on head of pier.	59 21 2 26	Qk. Fl. R.----- *	18			Shown from Aug. 1 to Apr. 30. 46/04.
7015 <i>A1810</i>	Mucklo Skerry----- U.	60 26 0 52	Gp. Fl. W.R. G. (2) period 10* fl. 0.3*, cc. 1* fl. 0.3*, cc. 8.4* Cp. W. 600 R. 120 G. 120	44	W. 10 R. 6 G. 6	White framework tower; 11.	W. 46°-192°, R.-272°, G.-348°, W.-353°, R.- 46°. 46/04.
13120 <i>A1101</i>	South Stack-----	53 18 4 42	Fl. W.----- period 10* fl. 0.5*, cc. 9.5* Cp. 2,500,000	197	20	White circular tower, dwellings; 91.	Obscured to the N. by North Stack. Tele- phone for lifesaving. Distress signals. Horn: 1 bl. ev. 30*. 46/04.
20160 <i>D0118</i>	NOORD HINDER LIGHTSHIP	51 39 2 33	Gp. Fl. W. (2)--- period 10* fl. 0.3*, cc. 2.2* fl. 0.3*, cc. 7.2* Cp. 1,300,000	52	12	Red hull, name on sides, black letters on white.	Reserve light F.W. with 2 W. flares ev. 10 min. Diaphone: 2 bl. ev 30*. Reserve whistle. Radio beacon. Storm signals. 46/04.

Note.—*Indicates that column in which a correction has been made or new information added.

No.	Name and location	Position lat. long.	Characteristic and power	Height of light above high water (feet)	Visi- bility (nau- tical miles)	Structure, height (feet)	Sectors, Remarks, Fog signals
SCOTLAND—SHEETLANDS							
7870 A 2796	Rova Head, E. point	N. W 60 11 1 08	Gp. Fl. W. R. G. (3) .. period 18" fl. 0.5", ec. 1.5" fl. 0.5", ec. 1.5" fl. 0.5", ec. 13.5" Cp. W. 500 R. 300 G. 200	33	10	White tower; 22.....	G. from land—173°, W.—196°, R.—241°, W.—264°, G.—9°. W.—land.
7880 A 2795	Mull of Eswick, 0.5 mile from N. extremity. U.	60 16 1 06	Fl.—W. R. G. period 3" fl. 0.5", ec. 2.5" Cp. W. 1,500 R. 500 G. 300	164	15	White tower; 22.....	G. 148°—200°, W—214°, R.—241°, W.—29°, R.—land.
7890 A 2802	WHALSAY: Symbister Ness, 600 yards from SW. point. U.	60 20 1 02	Gp. Fl. W. R. (2)..... period 12" fl. 0.5", ec. 1.5" fl. 0.5", ec. 9.5" Cp. W. 500 R. 200	37	10	White tower; 22.....	W. 3°—197°, R.—215°, obsc.—3°.
7900 A 2804	Suiber Ness..... U.	60 22 1 00	Fl. W. R. G. period 3" fl. 0.5", ec. 2.5" Cp. W. 1,500 R. 500 G. 300	27	9	White tower, 22.....	W. from land—41°, G.—123°, W.—206°, R.—235°, obsc. elsewhere.
7910 A 2808	Out Skerries, Bound Skerry ..	60 25 0 43	Fl. W. period 60" fl. 5", ec. 55" Cp. 159,000	145	18	White tower 95.....	Radiotelephone. Gun: 1 report ev. 30°.
7915 A 2810	Muckle Skerry	60 26 0 52	Gp. Fl. W. R. G. (2) .. period 10" fl. 0.3", ec. 1.0" fl. 0.3", ec. 8.4" Cp. W. 600 R. 120 G. 120	44	W. 10 R. 6 G. 6	White framework tower, 11 ..	W. 46°—192°, R.—272°, G.—348°, W.—353°, R.—46°.

7

ADMIRALTY NOTICES TO MARINERS

1784. WEATHER BULLETINS FOR SHIPPING ISSUED ON THE B.B.C. LIGHT PROGRAMME.

Former Notice 1379(P)/64 cancelled.

The mid-day "5-minute" shipping forecast on weekdays on 200 kc/s (1500 metres) is now broadcast at 1355 clock time.

Hydrographic Department. (H. 2251/64.)

*1785. SCOTLAND, E. COAST—RIVER FORTH—Forth Road Bridge—Construction completed.

Former Notice 453(T)/64 cancelled.

The Forth Road bridge is shown in *Large Corrections to Charts 116 and 119*, dated 4th September, 1964, which will be available shortly. *Charts 114^a and 114^b* will be corrected by a Notice to Mariners with Blocks.

Hydrographic Department. (H. 6372/58.)

*1786. SHETLAND ISLES—OUT SKERRIES—Muckle Skerry—Light established.

(1) A light, *Gp. Fl. (2) W.R.G. 10 sec. 41 ft. 10, 6, 6 M.*, is to be inserted in position $252\frac{1}{2}^{\circ}$ 4.13 miles from Out Skerries light ($60^{\circ} 25' 30''$ N., $0^{\circ} 43' 35''$ W. approx.). It is shown from a white framework tower, 11 feet in height.

(2) Sectors are to be inserted at the new light in (1) as follows:—*White* from 046° to 192° , *Red* thence to 272° , *Green* thence to 349° , *White* thence to 353° , *Red* thence to 046° .

Charts [*Last correction*].—3059 [2051/63]—1118^A & L(D6) 1118^A [2050/63]—219 & L(D6) 219 (1) [1329/64].
Light List Vol. A/64, 2810. North Sea Pilot Vol. I 1960 p. 153.
Northern Lighthouse Board Notice 11/64. (H. 3013/64.)

*1787. WALES, S. COAST—BRISTOL CHANNEL—SWANSEA BAY—Port Talbot—Information about Docking Signals.

(1) A small circle "*Docking Sig. (see Note)*" is to be substituted for the light-star "*Docking Sig. 2 F.G. (Vert.) (Occas.)*" ($51^{\circ} 34' 55''$ N., $3^{\circ} 48' 10''$ W. approx.).

(2) The accompanying note is to be inserted under the title of the plan.

Chart [*Last correction*].—1161 (plan, Swansea Bay) [1118/64].
Docks Manager, Port Talbot, & Hydrographic Department. (H. 3759/60.)

London.
19th September, 1964.

E. G. IRVING, Rear-Admiral,
Hydrographer of the Navy.

H. O. 114

(1) No.	(2) Name and Location	(3) Position lat. long	(4) Characteristic and power	(5) Height (feet)	(6) Range (miles)	(7) Structure, height (feet)	(8) Sector, Remarks, Fog signals
SCOTLAND-SHETLANDS							
7850 A 2784	LERWICK: — North Ness	N. W. 60 10 1 09	F. W. R. G. Cp. under 100	14	5	Column, 10	W. from shore—158°, R.—216° W.—274°, G.—306°
7860 A 2786	— Looe's Bas, N. of North Ness. U.		Fl. W. period 3" fl. 0.5°, ec. 1.5°	14	5	Concrete beacon; 20	Shown from Aug. 1 to Apr. 30.
7865 A 2788	— N. entrance, front	60 11 1 09	F. R	30		Red and orange triangular daymark.	
7865.1 A 2788.1	— Rear, 135 yards 215° from front.		F. R	55		Red and orange triangular daymark.	
7870 A 2794	Rova Head, E. point	60 11 1 08	Cp. Fl. W. R. G. (3) .. period 15" fl. 0.5°, ec. 1.5° fl. 0.5°, ec. 1.5° fl. 0.5°, ec. 13.5° Cp. W. 500 R. 300 G. 200	33	8	White tower; 22	G. from land—173°, W.—196° R.—241°, W.—264°, G.—9° W.—land.
7880 A 2796	Mull of Eswick, 0.5 mile from N. extremity. U.	60 16 1 06	Fl. W. R. G. period 3" fl. 0.5°, ec. 2.5° Cp. W. 1,500 R. 500 G. 300	164	W. 9 R. 6 G. 6	White tower; 22	G. from land—200°, W.—207°, R.— 241°, W.—23°, R.—40°, W.—land.
7890 A 2802	WHALSAY: Symbister Ness, 600 yards from SW. point. U.	60 20 1 02	Cp. Fl. W. R. (2)	37	W. 8 R. 6	White tower; 22	W. 3°—197°, R.—215°, obsc.—3°.
7900 A 2804	Suther Ness	60 22 1 00	Fl. W. R. G. period 3" fl. 0.5°, ec. 2.5° Cp. W. 1,500 R. 500 G. 300	27	W. 10 R. 8 G. 7	White tower; 22	W. from land—41°, G.—123° W.—205°, R.—235°, obsc. elsewhere.
7910 A 2808	Out Skerries, Bound Skerry ..	60 25 0 43	Fl. W. period 60" fl. 5°, ec. 55° Cp. 159,000	245	13	White tower 08	Radiotelephone. Gun: 1 report ev. 30°.
7915 A 2810	Muckle Skerry	60 26 0 52	Cp. Fl. W. R. G. (2) .. period 10" fl. 0.3°, ec. 1.0° fl. 0.3°, ec. 8.4° Cp. W. 320 R. 100 G. 100	44	W. 7 R. 5 G. 5	White framework tower; 11 ..	W. 46°—192°, R.—272°, G.—346° W.—353°, R.—46°.

H. O. 114

(1) No.	(2) Name and location	(3) Position lat., long.	(4) Characteristic and power	(5) Height (feet)	(6) Range (miles)	(7) Structure, height (feet)	(8) Sector, Remarks, Fog signals
SCOTLAND-SHETLANDS							
		N. W.					
7850 A 3784	LERWICK: — North Ness	60 10 1 09	F. W. R. G. Cp. under 100	14	5	Column; 10	W. from shore—153°, R.—216°, W.—274°, G.—306°.
7860 A 3784	— Looe Baa, N. of North Ness. U.		Fl. W. period 3 ^s fl. 0.5 ^s , ec. 2.5 ^s	14	5	Concrete beacon; 20	Shown from Aug. 1 to Apr. 30.
7865 A 3788	— N. entrance, front	60 11 1 09	F. R.	30		Red and orange triangular daymark.	
7865.1 A 3788.1	— Rear, 135 yards 215° from front.		F. R.	55		Red and orange triangular daymark.	
7870 A 3794	Rova Head, E. point	60 11 1 03	Cp. Fl. W. R. G. (3) .. period 15 ^s fl. 0.5 ^s , ec. 1.5 ^s fl. 0.5 ^s , ec. 1.5 ^s fl. 0.5 ^s , ec. 13.5 ^s Cp. W. 500 R. 300 G. 200	33	W. 8 R. 7 G. 6	White tower; 22	G. from land—173°, W.—196°, R.—241°, W.—264°, G.—9°, W.—land.
7880 A 3796	Hull of Eswick, 0.5 mile from N. extremity. U.	50 16 1 06	Fl. W. R. G. period 3 ^s fl. 0.5 ^s , ec. 2.5 ^s Cp. W. 1,000 R. 100 G. 100	15-1	W. 9 R. 6 G. 6	White tower; 22	G. from land—200°, W.—207°, R.— 241°, W.—28°, R.—40°, W.—land.
7890 A 3802	WHALSAY: Symbister Ness, 600 yards from SW. point. U.	50 20 1 02	Cp. Fl. W. R. (2)	37	W. 8 R. 6	White tower; 22	W. 3°—197°, R.—215°, obsc.—3°.
7900 A 3804	Suther Ness	60 22 1 00	Fl. W. R. G. period 3 ^s fl. 0.5 ^s , ec. 2.5 ^s Cp. W. 1,500 R. 500 G. 300	27	W. 10 R. 8 G. 7	White tower; 22	W. from land—41°, G.—123°. W.—206°, R.—235°, obsc. elsewhere.
7910 A 3808	Out Skerries, Bowd Skerry ..	60 25 0 43	Fl. W. period 60 ^s fl. 5 ^s , ec. 55 ^s Cp. 159,000	145	18	White tower; 98	Gun: 1 report ev. 30°.
7915 A 3810	Muckle Skerry	60 25 0 52	Cp. Fl. W. R. G. (2) .. period 10 ^s fl. 0.3 ^s , ec. 1.0 ^s fl. 0.3 ^s , ec. 8.4 ^s Cp. W. 320 R. 100 G. 100	44	W. 7 R. 5 G. 5	White framework tower; 11 ..	W. 46°—192°, R.—272°, G.—345°. W.—353°, R.—46°.

PUB. 114

LIST OF LIGHTS AND FOG SIGNALS

1973

BRITISH ISLES, ENGLISH CHANNEL AND NORTH SEA

Published by the Defense Mapping Agency
Hydrographic Center



IMPORTANT
THIS PUBLICATION SHOULD
BE CORRECTED EACH
WEEK FROM THE
NOTICE TO MARINERS.

For sale by authorized sales agents of the Defense Mapping Agency Hydrographic Center Price:.....\$4.00

	(2) Name and location	(3) Position lat. long.	(4) Characteristic	(5) Height	(6) Range (miles)	(7) Structure, height (feet)	(8) Sector. Remarks. Fog signals
SCOTLAND-SHETLANDS							
7819 A 3726	Kirkcubister Ness, Bressay Sound.	N. W. 60 07 1 07	Cp. Fl. W. (2) period 30" fl. 0.3", ec. 4.4" fl. 0.3", ec. 25.0"	105" 32	16	White tower; 53.....	Siren: 2 bl. in quick succession ev. 90" Radiobeacon.
LERWICK:							
7820 A 3728	— Twageos Point	60 09 1 08	Fl. W. period 6" fl. 2", ec. 4"	25 8	6	White beacon; 12	
7830 A 3730	— Elbow near outer end of breakwater.		F. W. G.	16 5	4	Column on concrete base; 12.	G. 150°-320°, W.-150°.
7840 A 3732	— Victoria Pier, elbow		F. R.	16 5	4	Column; 15	A F. R. light is shown from SE. corner and from S. side of Victoria Pier (occasional).
7841 A 3733	— Victoria Pier, head		Qk. Fl. G. 60 fl. per min.	16 5	1	
7842 A 3733	— North Jetty		Qk. Fl. R. 60 fl. per min.	16 5	1	
7845 A 3733.4	— Oil Jetty Head, SW. corner.	60 10 1 09	Qk. Fl. W.	17 5	Post; 8.....	
7850 A 3734	— North Ness	60 10 1 09	F. W. R. G.	14 4	5	Column; 10	W. from shore-155°, R.-216°, W.-274°, G.-306°.
7860 A 3736	— Loofta Baa, N. of North Ness.		Fl. W. period 3" fl. 0.5", ec. 2.5"	14 4	5	Concrete beacons; 20	Shown from Aug. 1 to Apr. 30.
7865 A 3733	— N. entrance, front	60 11 1 09	F. R.	30 9	Red and orange triangular daymark.	
7865.1 A 3733.1	— Rear, 135 yards 215° from front.		F. R.	55 17	Red and orange triangular daymark.	
7870 A 3734	Rova Head, E. point	60 11 1 08	Cp. Fl. W. R. G. (3) .. period 18" fl. 0.5", ec. 1.5" fl. 0.5", ec. 1.5" fl. 0.5", ec. 13.5"	33 10	W. 8 R. 7 G. 6	White tower; 22.....	G. from land-173°, W.-196°, R.-241°, W.-264°, G.-9°, W.-land.
7880 A 3736	Hull of Eswick, 0.5 mile from N. extremity.	60 16 1 06	Fl. W. R. G. period 3" fl. 0.5", ec. 2.5"	164 50	W. 9 R. 6 G. 6	White tower; 22.....	G. from land-200°, W.-207°, R.- 241°, W.-28°, R.-49°, W.-land.
WHALSAY:							
7890 A 3802	— Symbister Ness, 600 yards from SW. point.	60 20 1 02	Cp. Fl. W. R. (2)..... period 12" fl. 0.5", ec. 1.5" fl. 0.5", ec. 9.5"	37 11	W. 8 R. 6	White tower; 22.....	W. 3°-197°, R.-215°, obsc.-3°.
7900 A 3804	— Suther Ness.....	60 22 1 00	Fl. W. R. G. period 3" fl. 0.5", ec. 2.5"	27 8	W. 10 R. 8 G. 7	White tower; 22.....	W. from land-41°, G.-123°, W.-206°, R.-235°, obsc. elsewhere.
7910 A 3808	Out Skerries, Bound Skerry ..	60 25 0 43	Fl. W. period 20" fl. 0.5", ec. 19.5"	148 45	18	White tower; 98.....	Horn: 1 bl. ev. 45°.
7915 A 3810	Muckle Skerry	60 26 0 52	Cp. Fl. W. R. G. (2) .. period 10" fl. 0.3", ec. 1.0" fl. 0.3", ec. 8.4"	44 13	W. 7 R. 5 G. 5	White framework tower; 11 ..	W. 46°-192°, R.-272°, G.-348°, W.-353°, R.-46°.

FEB 5 1937

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H. O. No. 33

1937

LIST OF LIGHTS

AND FOG SIGNALS

Volume IV

BRITISH ISLANDS, ENGLISH CHANNEL
AND NORTH SEA

Corrected to January 1, 1937

ISSUED UNDER THE AUTHORITY OF THE
SECRETARY OF THE NAVY



UNITED STATES
GOVERNMENT PRINTING OFFICE
WASHINGTON : 1937

For sale by the Hydrographic Office, Washington, D. C.

Price 25 cents

SCOTLAND—EAST COAST

No.	Name and location	Position, lat. N., long. W.	Characteristic and power	Height of light above high water (feet)	Visi- bility (nau- tical miles)
1982	Frewick, on pier.....	58 35 3 04	F. W..... Cp. under 100.	8	5
1984	Duncansby Head.....	58 39 3 01	Fl. W..... period 6°. flash about 0.7°, ecl. 5.3°. Cp. 30,000.	220	20

SCOTLAND—NORTH COAST

1986	Pentland Skerries, on Muckle Skerry.	58 41 2 55	Gp. Fl. W..... 3 flashes, period 30°. flash 4°, ecl. 1°. " 4° " 1°. " 4° " 16°. Cp. 20,000.	170	10
1990	Lother Rock..... U.	58 44 2 50	Gp. Fl. W..... 2 flashes, period 10°. flash 1°, ecl. 1°. " 1° " 7°. Cp. 400.	35	10
1992	Stroma, Swilkie Point.....	58 42 3 07	Gp. Fl. W..... 6 flashes, period 30°. flash 0.7°, ecl. 1.7°. " 0.7° " 1.7°. " 0.7° " 1.7°. " 0.7° " 1.7°. " 0.7° " 1.7°. " 0.7° " 17.3°. Cp. 156,000.	104	16
1004	Dunnet Head.....	58 40 3 22	Gp. Fl. W..... 4 flashes, period 30°. " 1°, ecl. 4°. " 1° " 4°. " 1° " 4°. " 1° " 14°. Cp. 141,000.	340	25
1990	Holburn, Little Head, W. side of Thurso Bay.	58 37 3 32	Fl. W., with R. sec- tor, period 10°. flash about 1°, ecl. 0°. Cp. W. 15,000, R. 8,000.	75	14
2000	Thurso, N. head of break- water.	58 36 3 30	F. R..... Cp. under 100.	15	5
2002	Scrabster Harbor, head of E. pier.	58 37 3 32	F. W..... Cp. under 100.	10	0
2004	— Head of W. pier.....		F. R..... Cp. under 100.	10	6

SCOTLAND—EAST COAST

No.	Structure; height (feet)	Sectors. Remarks. Fog signals
1982	Post; 5.....	Fishing light. Occasional.
1084	White tower; 36.....	Siren; 5 blasts, of 2.5° duration in quick suc- cession, every 2 min.

SCOTLAND—NORTH COAST

1080	White tower; 118.....	Siren (old lighthouse); blast 7°, allent 83°.
1090	Black pyramidal beacon with cage; 40.	
1092	White tower; 74.....	Siren; 2 blasts of 3° each, in quick succession, every min.
1004	White stone tower; 60.....	Lloyd's and storm signal stations. Siren; 3 blasts (low, high, low) of 3° each, in quick succession, every 2 min.
1990	White tower; 55.....	White from about 108° to 358°; seen thence to land SE. of the light. Telephone for life saving purposes. Gun (70 yards N. of light); one report every 20°.
2000	Post; 10.....	Visible from 03° to 319°. Shown from Sept. 1 to Apr. 30.
2002	Post; 8.....	Shown from Aug. 1 to May 31.
2004	White circular tower; 0.....	

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H. O. PLAN No. 53

1948

LIST OF LIGHTS

AND FOG SIGNALS

Volume IV

BRITISH ISLES, ENGLISH CHANNEL
AND NORTH SEA

Corrected to January 1, 1948

ISSUED UNDER THE AUTHORITY OF THE
SECRETARY OF THE NAVY



UNITED STATES
GOVERNMENT PRINTING OFFICE
WASHINGTON: 1948

SCOTLAND

No.	Name and location	Position, lat. N, long. W.	Characteristics and power	Height of light above high water (feet)	Visi- bility (nau- tical miles)
2000	WICK: — SE. corner of pier be- tween Outer and Inner Harbor.	58 28 8 01	P. R.		
2002	— Front, near root of S. pier.		P. R. Cp. under 100.	10	
2004	— Rear, 22 yards from front light.		P. R. Cp. under 100.	23	
2008	Noss Head	58 20 3 03	Fl. W., with R. sector. period 30°. flash from 2.5 to 5°. Cp. W. 93,000, R. 37,000.	175	18
2010	Kelms Harbor	58 31 3 07	F. W. Cp. under 100.	12	5
2012	Auckingill, front	58 34 3 03	F. W. Cp. under 100.	53	
2014	— Rear, on shore, 230 yards from front light.		F. W. Cp. under 100.	107	
2018	Freswick, on pier	58 35 3 04	F. W. Cp. under 100.	8	5
2020	Duncansby Head	58 30 3 01	Fl. W. period 6° flash about 0.7°, ecl. 5.3°. Cp. 30,000.	220	20

SCOTLAND

2040	Pentland Skerries, on Muckin Skerry.	58 41 2 55	Gp. Fl. W. 3 flashes, period 30°. flash 4°, ecl. 1°. " 4°, " 1°. " 1°, " 16°. Cp. 29,000.	170	19
2042	Lothar Rock U.	58 44 2 59	Gp. Fl. W. 2 flashes, period 10°. flash 1°, ecl. 1°. " 1°, " 7°. Cp. 400.	35	10

EAST COAST

No.	Structure; height (feet)	Sectors. Remarks. Fog signals
2000		
2002	Mast; 11	
2004	Lantern on building; 10	Range lights, for harbor entrance. Not visible until harbor entrance is open.
2008	White stone tower; 60	Red from 191° to the land W. of the light; white elsewhere. Telephone for life-saving purposes. Siren; 3 blasts of 3° duration each in quick succession every 90°.
2010	Bracket on building	Shown at tide time when fishing boats are expected.
2012	Tower; 12	
2014	Window of house	Range lights, shown when fishing boats are at sea.
2018	Post; 5	Fishing light. Occasional.
2020	White tower; 36	Siren; 5 blasts, of 2.5° duration in quick succession every 2 min.

NORTH COAST

2040	White tower; 118	Siren (old lighthouse); blast 7°, silent 53°.
2042	Black pyramidal beacon with cage; 40	

MC DEC 1954

H. O. Pub. No. 33

1954

LIST OF LIGHTS

AND FOG SIGNALS:

v. 4
Volume IV

BRITISH ISLES, ENGLISH CHANNEL
AND NORTH SEA,

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SECRETARY OF THE NAVY



UNITED STATES
GOVERNMENT PRINTING OFFICE
WASHINGTON : 1954

Sole by the U. S. Navy Hydrographic Office, Washington 25, D. C.

Price \$4.00

Enclosure 10

No.	Name and location	Position, lat. long.	Characteristic and power	Height of light above high water (feet)	Vis. SMY (nautical miles)	Structure, height (feet)	Sector, Remarks, Fog signals
ENGLAND—EAST COAST							
7320 A 1548	Duncansby Head.....	N. W. 58 35 3 01	Fl. W..... period 6" fl. 0.7", ec. 5.3" Cp. 30,000	220	20	White tower; 36.....	Siren; 5 quick blasts ev. 2 min.
SCOTLAND—NORTH COAST							
7330 A 1549	Pentland Skerries, on Muckle Skerry.	58 41 2 55	Gp. Fl. W. (3).. period 30" fl. 4", ec. 1" " 4", " 1" " 4", " 16" Cp. 29,000	170	10	White tower; 118.....	Siren; fold lighthouse; blast 7", silent 83".
7340 A 1541	Lothar Rock.....	U. 58 44 2 59	Gp. Fl. W. (2).. period 10" fl. 1", ec. 1" " 1", " 7" Cp. 400	35	10	Black pyramidal bea- con with cage; 40.	
7350 A 1553	Stroma, Swilkie Point..	58 42 3 07	Gp. Fl. W. (6).. period 30" fl. 0.7", ec. 1.7" " 0.7", " 1.7" " 0.7", " 1.7" " 0.7", " 1.7" " 0.7", " 1.7" " 0.7", " 17.3" Cp. 156,000	101	16	White tower; 74.....	Siren; 2 quick blasts ev. 60". Radiobeacon.
7350 A 1574	Dunnet Head.....	58 40 3 22	Gp. Fl. W. (4).. period 30" fl. 1", ec. 4" " 1", " 4" " 1", " 4" " 1", " 14" Cp. 141,000	346	25	White stone tower; 56..	Storm signals.
7370 A 1552	Holburn, Little Head, W. side of, Thurso Bay.	58 37 3 32	Fl.—W. R..... period 10" fl. 1", ec. 9" Cp. W. 15,000, R. 8,000	75	14	White tower; 55.....	W. 198°-358°; R.—land SE. of the light. Tele- phone for life-saving. Gun (70 yards N. of light); 1 report ev. 20"
7380 A 1550	Thurso, N. head of breakwater.	58 36 3 30	F. R..... Cp. under 100	15	5	Post; 10.....	Shown from Sept. 1 to Apr. 30.
7390 A 1549	— Front.....		F. G.....	15	5	White post.....	
7390.1 A 1549.1	— Rear.....		F. G.....	20	5	White post.....	Range lights, about 195°.
7400 A 1551	Scrabster Harbor, head of E. pier.	58 37 3 33	F. W..... Cp. under 100	10	6	Post; 9.....	
7410 A 1545	— Head of W. pier.....		F. R..... Cp. under 100	10	5	White circular tower; 9..	Shown from Aug. 1 to May 31.

No.	Name and location	Position (lat. long.)	Characteristic and power	Height of light above high water (feet)	Visi- bility (nau- tical miles)	Structure, height (feet)	Notes. Remarks. Fog signals
SCOTLAND—EAST COAST							
	WCK:	N. W.					
7270 A 2528	— Head of S. pier, front ...	58 26 3 05	F. R. Cp. 100	37	8	White octagonal tower; 35	A F. G. light is shown from pilot's lookout at South Head when dangerous to enter the bay. Storm signals.
7270.1 A 2530	— Rear, on N. pier 120 yards 285° from front.	F. G. Cp. under 100	43	6	White beacon, 40	Bell: 2 quick strokes ev. 10° A F. W. light 21 feet above high water is shown from a post at head of pier. Siren: (North Head) 1 blast ev. 30°. Radio direction finder.
7280 A 2534	— Near root of S. pier, front.	F. R. Cp. under 100	16	Mast; 11	
7280.1 A 2536	— Rear, 22 yards 234° from front.	F. R. Cp. under 100	23	Lantern on building; 19	
7290 A 2546	Noss Head	58 28 3 03	Fl.—W. R. period 30° fl. from 2.5° to 5° Cp. W. 93,000 R. 37,000	175	18	White stone tower, dwell- ings; 60.	R. 101°—land W. of the light, W.—101°. Telephone for lifeguarding. Siren: 3 quick blasts ev. 90°
7300 A 2543	— AVIATION LIGHT	58 28 3 05	Alr. Cp. Fl.—W. G. (4). period 5° fl. G. 0.7°, ec. 0.6° fl. W. 0.7°, ec. 0.6° fl. W. 0.7° fl. G. 0.7°, ec. 4.1°	
7310 A 2548	Keiza Harbor	58 31 3 07	F. W. Cp. under 100	14	5	Bracket on building	Used for fishing boats.

SCOTLAND—NORTH COAST							
7320 A 2558	Dunrobin Head	58 29 3 01	Fl. W. period 6° fl. 0.7°, ec. 5.3° Cp. 30,000	220	20	White square tower, dwellings; 36.	Siren: 5 blasts ev. 2 mins.
7330 A 2562	Pentland Skerries, on Wreckle Skerry.	58 41 2 55	Cp. Fl. W. (3) period 30° fl. 4°, ec. 1° fl. 4°, ec. 1° fl. 4°, ec. 16° Cp. 710,000	170	10	White circular tower, dwellings; 118.	Siren: (old lighthouse) 1 blast ev. 91°.
7340 A 2564	Lotber Rock	58 44 2 59	Cp. Fl. W. (2) period 10° fl. 1°, ec. 1° fl. 1°, ec. 7° Cp. 400	35	10	Black pyramidal beacon with cage, 40.	
7350 A 2568	Stroma, Salkie Point	58 42 3 07	Cp. Fl. W. (6) period 30° fl. 0.7°, ec. 1.7° fl. 0.7°, ec. 1.7° fl. 0.7°, ec. 1.7° fl. 0.7°, ec. 1.7° fl. 0.7°, ec. 1.7° fl. 0.7°, ec. 17.3° Cp. 150,000	104	16	White tower, 74	Siren: 2 quick blasts ev. 60°. Radiobeacon.

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THIRD EDITION

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LIST OF LIGHTS AND FOG SIGNALS:

BRITISH ISLES, ENGLISH CHANNEL AND NORTH SEA

September 14, 1963.

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the authority of the Secretary of the Navy



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WASHINGTON: 1963

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Contents only.....	\$3.50
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⑦ Paper, \$3.50; with binding
\$5.00.

No.	Name and location	Position lat., long.	Characteristic and power	Height of light above high water (feet)	Visi- bility (nau- tical miles)	Structure, height (feet)	Sector, Remarks, Fog signals
SCOTLAND-NORTH COAST							
7370 A 2554	Duncansby Head.....	N. W 58 39 3 01	Fl. W period 6" fl. 0.7 ^s , ec. 5.3 ^s Cp. 30,000	220	23	White tower; 36.....	Siren 5 bl. ev. 2 mins. Telephone.
7330 A 2562	Pentland Skerries, on Muckle Skerry.	58 41 2 55	Gp. Fl. W. (3)..... period 30" fl. 4 ^s , ec. 1 ^s fl. 4 ^s , ec. 1 ^s fl. 4 ^s , ec. 16 ^s Cp. 710,000	170	19	White tower; 118.....	Siren (old lighthouse) 1 bl. ev. 90 ^s . Radiotelephone. Distress signals.
7340 A 2564	Lochee Rock	58 44 2 59	Gp. Fl. W. (2)..... period 10" fl. 1 ^s , ec. 1 ^s fl. 1 ^s , ec. 7 ^s Cp. 400	35	10	Black pyramidal beacon; 40.	
7350 A 2563	Stroma, Swilkie Point	58 42 3 07	Gp. Fl. W. (6)..... period 30" fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 17.3 ^s Cp. 150,000	104	15	White tower; 74.....	Siren 2 quick bl. ev. 60 ^s . Radiobeacon. Radiotelephone.
7360 A 2574	Dunnet Head.....	58 40 3 22	Gp. Fl. W. (4)..... period 30" fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 14 ^s Cp. 141,000	346	25	White stone tower; 66.....	Storm signals. Siren 3 bl. in quick succession ev. 90 ^s .
7370 A 2578	Hulburn, Little Head, W. side of Thurso Bay.	58 27 3 32	Fl.—W. R..... period 10" fl. 1 ^s , ec. 5 ^s Cp. W. 15,000 R. 8,000	75	14	White tower; 55.....	W. 195°-355°, R.—land. Siren 1 bl. ev. 20 ^s . Telephone. Distress signals.
7372 A 2580	Strethly Point.....	58 36 4 01	Fl. W..... period 20" fl. 0.5 ^s , ec. 19.5 ^s Cp. 1,500,000	135	17	Diaphone; 4 bl. ev. 60 ^s .
7380 A 2588	Thurso, N. head of break- water.	58 36 3 30	F. R..... Cp. under 100	15	5	Red post; 10.....	Shown from Sept. 1 to Apr. 30.
7390 A 2587	— Front		F. G.....	15	5	White post; 10.....	
7390.1 A 2582.1	— Rear, about 195° from front.		F. G.....	20	5	White post; 15.....	
7400 A 2584	Scrobster Harbor, head of E. pier.	58 37 3 33	F. W..... Cp. under 100	10	6	Post; 9.....	Shown from Aug. 1 to May 31.
7410 A 2586	— Head of W. pier.....		F. R..... Cp. under 100	10	5	White circular tower; 9.....	Shown from Aug. 1 to May 31.

No.	Name and location	Position lat., long.	Characteristic and power	Height of light above high water (feet)	Visibility (nautical miles)	Structure, height (feet)	Sector, Remarks, Fog signals
SCOTLAND-NORTH COAST							
7320 A 2350	Duncansby Head.....	N. W. 56 39 1 01	Fl. W. period 6" fl. 0.7", ec. 5.3" Cp. 50,000	220	27	White tower; 36.....	Siren 5 bl. ev. 2 mins. Telephone.
7330 A 2362	Pentland Skerries, on Muckle Saem.	56 41 2 55	Cp. Fl. W. (3) period 3" fl. 0.4", ec. 0.1" fl. 0.4", ec. 0.1" fl. 0.4", ec. 22.6" Cp. 710,000	170	19	White tower; 113.....	Siren (old light use) 1 bl. ev. 90". Radiotelephone. Distress signals.
7340 A 2364	Locher Rock	56 44 2 59 U.	Cp. Fl. W. (2) period 10" fl. 1", ec. 1" fl. 1", ec. 7" Cp. 400	35	10	Black pyramidal beacon, 40.	
7350 A 2369	Stroma, Saffire Point	56 42 3 07	Cp. Fl. W. (5) period 3" fl. 0.7", ec. 1.7" fl. 0.7", ec. 1.7" fl. 0.7", ec. 1.7" fl. 0.7", ec. 1.7" fl. 0.7", ec. 1.7" Cp. 150,000	134	16	White tower; 74.....	Siren 2 quick bl. ev. 60". Radiobeacon. Radiotelephone.
7360 A 2374	Dunnet Head	56 40 3 22	Cp. Fl. W. (4) period 3" fl. 1", ec. 4" fl. 1", ec. 4" fl. 1", ec. 4" fl. 1", ec. 14" Cp. 111,000	345	25	White stone tower, 66	Telephone. Siren 3 bl. in quick success ev. 90".
7370 A 2388	Holburn, Little Head, W. side of Tarso Bay.	56 37 3 32	Fl. —W. R. period 10" fl. 1", ec. 0" Cp. W. 15,000 R. 2,000	75	14	White tower; 55.....	W. 195°-355°, R.—land. Siren 1 bl. ev. 20". Telephone. Distress signals.
7372 A 2389	Strathy Point.....	56 26 4 52	Fl. W. period 2" fl. 0.5", ec. 19.5" Cp. 1,000,000	135	17	Diaphone; 4 bl. ev. 90".
7380 A 2380	Thurso, N. head of break- water.	56 36 3 30	F. R. Cp. under 100	15	5	Red post; 10.....	Shown from Sept. 1 to Apr. 30.
7390 A 2382	— Front		F. G.	15	5	White post, 10	
7390.1 A 2382.1	— Rear, about 195° from front.		F. G.	20	5	White post; 15.....	
7400 A 2384	Scrabster Harbor, head of E. pier.	56 37 3 33	F. W. Cp. under 100	10	h	Post; 9.....	Shown from Aug. 1 to May 31.
7410 A 2386	— Head of W. pier.....		F. R. Cp. under 100	10	5	White circular tower; 9	Shown from Aug. 1 to May 31.

(1) No.	(2) Name and location	(3) Position lat. long.	(4) Characteristic and power	(5) Height (feet)	(6) Range (miles)	(7) Structure, height (feet)	(8) Sector, Remarks, Fog signals
SCOTLAND-NORTH COAST							
7320 A 3558	Duncansby Head.....	N. W. 58 39 3 01	Fl. W. period 6 ^s fl. 0.7 ^s , ec. 5.3 ^s Cp. 30,000	220	17	White tower, 36.....	Siren: 5 bl. ev. 2 min.
7330 A 3562	Pentland Skerries, on Mackie Skerry.	58 41 2 55	Cp. Fl. W. (3) period 30 ^s fl. 0.4 ^s , ec. 0.1 ^s fl. 0.4 ^s , ec. 0.1 ^s fl. 0.4 ^s , ec. 26.6 ^s Cp. 710,000	170	19	White tower; 115.....	Siren (old lighthouse) 1 bl. ev. 90 ^s . Distress signals.
7340 A 3564	Lother Rock.....	58 44 2 59	Cp. Fl. W. (2) period 10 ^s fl. 1 ^s , ec. 1 ^s fl. 1 ^s , ec. 7 ^s Cp. 400	35	8	Black pyramidal beacon; 40.	
7350 A 3568	Sroma, Swilkie Point.....	58 42 3 07	Cp. Fl. W. (5) period 30 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 17.3 ^s Cp. 156,000	164	16	White tower; 74.....	Siren: 2 quick bl. ev. 60 ^s . Radiobeacon.
7350 A 3574	Dunnet Head.....	58 40 3 22	Cp. Fl. W. (4) period 30 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 14 ^s Cp. 141,000	346	20	White stone tower; 66.....	Siren: 3 bl. in quick succession ev. 50 ^s .
7370 A 3578	Halburn, Little Head, W. side of Thurso Bay.	58 37 3 32	Fl. W. R. period 10 ^s fl. 1 ^s , ec. 9 ^s Cp. W. 15,000 R. 2,000	75	14	White tower, 55.....	W. 198°-258°, R.-land. Siren: 1 bl. ev. 20 ^s . Distress signals.
7372 A 3580	Serathy Point.....	58 36 4 01	Fl. W. period 20 ^s fl. 0.5 ^s , ec. 19.5 ^s Cp. 1,600,000	146	18	White low tower on white dwelling; 45.	Diaphone: 4 bl. ev. 90 ^s .
7350 A 3582	Thurso, N. head of break- water.	58 36 3 30	F. R. Cp. under 100	15	4	Red post; 10.....	Shows from Sept. 1 to Apr. 30.
7390 A 3583	— Front.....		F. G. Cp. under 100	15	4	White post; 10.....	
7390.1 A 3583.1	— Rear, about 195° from front.		F. G. Cp. under 100	20	4	White post; 15.....	
7400 A 3584	Scrabster Harbor, head of E. pier.	58 37 3 33	F. W. Cp. under 100	10	4	White post; 9.....	Shows from Aug. 1 to May 31.
7410 A 3586	— Head of W. pier.....		F. R. Cp. under 100	10	4	White circular tower; 9.....	Shows from Aug. 1 to May 31.

(1) No.	(2) Name and location	(3) Position lat., long.	(4) Characteristic and color	(5) Height	(6) Range (miles)	(7) Structure, height (feet)	(8) Sectors, Remarks, Fog signals
SCOTLAND-NORTH COAST							
7320 A 3554	Duncansby Head.....	N. W. 58 39 3 01	Fl. W..... period 6" fl. 0.7", ec. 5.3" Cp. 31,500	220 67	17	White tower, 36.....	Siren: 5 bl. ev. 2 mins. Racon.
7330 A 3562	Pentland Skerries, on Muckle Skerry.	58 41 2 55	Cp. Fl. W. (3)..... period 30" fl. 0.4", ec. 0.1" fl. 0.4", ec. 0.1" fl. 0.4", ec. 25.6" Cp. 710,000	170 52	19	White tower; 118.....	Siren: fold lighthouse 1 bl. ev. 90" Distress signals.
7340 A 3564	Locher Rock.....	58 44 2 59	Cp. Fl. W. (2)..... period 10" fl. 1", ec. 1" fl. 1", ec. 7" Cp. 400	35 11	8	Black pyramidal beacon; 40.	
7350 A 3566	Stroma, Swilkie Point.....	58 42 3 07	Cp. Fl. W. (6)..... period 30" fl. 0.7", ec. 1.7" fl. 0.7", ec. 1.7" fl. 0.7", ec. 1.7" fl. 0.7", ec. 1.7" fl. 0.7", ec. 17.3" Cp. 156,000	104 32	16	White tower; 74.....	Horn: 2 quick bl. ev. 60" Radiobeacon.
7360 A 3574	Dunnet Head.....	58 40 3 22	Cp. Fl. W. (4)..... period 30" fl. 1", ec. 4" fl. 1", ec. 4" fl. 1", ec. 4" fl. 1", ec. 14" Cp. 141,000	346 105	20	White stone tower; 66.....	Siren: 3 bl. in quick succession ev. 90"
7370 A 3578	Holburn, Little Head, W. side of Thorso Bay.	58 37 3 32	Fl. W. R..... period 10" fl. 1", ec. 9" Cp. W. 15,000 R. 2,000	75 23	14	White tower; 55.....	W. 198°-356° R.-land. Siren: 1 bl. ev. 20" Distress signals.
7372 A 3580	Stromoy Point.....	58 35 4 01	Fl. W..... period 20" fl. 0.5", ec. 19.5" Cp. 1,000,000	156 45	16	White lighthouse on white dwelling, 45.	Diaphone: 4 bl. ev. 90"
7380 A 3582	Thorso, N. head of Break- water.	58 35 3 30	F. R..... Cp. under 100	15 5	4	Red post; 10.....	Shown from Sept. 1 to Apr. 30.
7390 A 3587	— Front.....		F. G..... Cp. under 100	15 5	4	White post, 10.....	
7390.1 A 3582.1	— Rear, about 195° from front.		F. G..... Cp. under 100	20 6	4	White post; 15.....	
7400 A 3584	Scrabster Harbor, head of E. pier.	58 37 3 33	F. W..... Cp. under 100	10 3	4	White post; 9.....	Shown from Aug. 1 to May 31.
7410 A 3585	— Head of W. pier.....		F. R..... Cp. under 100	10 3	4	White circular tower; 9.....	Shown from Aug. 1 to May 31.

PUB. 114

LIST OF LIGHTS
AND FOG SIGNALS

1973

BRITISH ISLES, ENGLISH CHANNEL
AND NORTH SEA

Published by the Defense Mapping Agency
Hydrographic Center



IMPORTANT
THIS PUBLICATION SHOULD
BE CORRECTED EACH
WEEK FROM THE
NOTICE TO MARINERS.

(1) No.	(2) Name and location	(3) Position Lat. long.	(4) Characteristic	(5) Height	(6) Range (miles)	(7) Structure, height (feet)	(8) Sector, Remarks, Fog signals
SCOTLAND—EAST COAST							
7260 A 3524	Clyth Ness	N. W. 58 19 3 13	Cp. Fl. W. (2) period 30" fl. 0.4", ec. 2.1" fl. 0.4", ec. 27.1	148 45	16	White tower, red band; 42..	
VICK:							
7270 A 3528	— Head of S. pier, front....	58 25 3 05	F. R.	38 12	5	White octagonal tower; 35..	Port and storm signals. Bell: 2 quick strokes ev. 10" (during fishing season).
7270.1 A 3528.1	— — Rear, on N. pier 197 yards 285° 15' from front.	F. G.	44 13	4	Metal framework tower; 40 ..	A F. W. light 18 feet above high water is shown from a post at head of pier.
7220 A 3534	— Near roof of S. pier, front.	F. R.	18 5	Mast; 11.....	
7280.1 A 3534.1	— — Rear, 72 yards 234° from front.	F. R.	25 8	Lantern on building; 19....	
7290 A 3544	Noss Head.....	58 29 3 03	Fl. W. R period 30" fl. from 2.5" to 5"	175 53	19	White stone tower; 60	R. shore—191°, W.—shore. Diaphone: 3 quick bl. ev. 50". Distress signals.
7300 A 3549	— AVIATION LIGHT	58 28 3 05	Alt. Cp. Fl. W. G. (4) period 5" fl. G. 0.7", ec. 0.6" fl. W. 0.7", ec. 0.6" fl. W. 0.7", ec. 0.6" fl. G. 0.6", ec. 4.1"	

SCOTLAND—NORTH COAST

7320 A 3550	Dunconby Head.....	58 39 3 01	Fl. W. period 6" fl. 0.7", ec. 5.3"	220 67	17	White tower; 36.....	Siren: 5 bl. ev. 2 mins. Rocon.
7330 A 3567	Parmland Skerries, on Muckle Skerry.	58 41 2 55	Cp. Fl. W. (3) period 30" fl. 0.4", ec. 0.1" fl. 0.4", ec. 0.1" fl. 0.4", ec. 28.6"	170 52	19	White tower; 118.....	Siren: (old lighthouse) 1 bl. ev. 90". Distress signals.
7340 A 3564	Lothar Rock	58 44 2 59	Qk. Fl. W	36 11	6	Black pyramidal beacon; 40.	
7350 A 3568	Stroma, Smilkie Point	58 42 3 07	Cp. Fl. W. (2) period 20" 2 fl. each 0.5"	104 32	16	White tower; 74.....	Horn: 2 bl. ev. 60" in quick suc- cession. Radiobeacon. Distress signals.
7360 A 3574	Dunnet Head	58 40 3 22	Cp. Fl. W. (4) period 30" fl. 1", ec. 4" fl. 1", ec. 4" fl. 1", ec. 4" fl. 1", ec. 14"	346 105	29	White stone tower; 66	Siren: 3 bl. in quick succession ev. 90".
7370 A 3578	Holburn, Little Head, W. side of Thurso Bay.	58 37 3 32	Fl. W. R period 10" fl. 1", ec. 9"	75 23	14	White tower; 55	W. 198°—358°, R.—land. Siren: 1 bl. ev. 20". Distress signals.
7372 A 3590	Shrothy Point.....	58 36 4 01	Fl. W. period 20" fl. 0.5", ec. 19.5"	146 45	18	White low tower on white dwelling; 45.	Diaphone: 4 bl. ev. 90".



NORTHERN LIGHTHOUSE BOARD
84 George Street Edinburgh EH2 3DA
Telegrams Lighthouse Edinburgh
Telephone 031-226 7051
Telex 72551 (Lighthouse Edin)

84928

Hill, Dickinson & Co
Equity & Law House
47 Castle Street
LIVERPOOL
L2 9UB

Your reference

JDG

Our reference

JRW/DS

Date

3 October 1977

Dear Sir

PENTLAND SKERRIES LIGHTHOUSE
STRANDING OF "PIONEER COMMANDER"

I write to acknowledge receipt of your letter of
23 September 1977 and in reply to inform you that:-

- (a) The character is produced by a revolving 4th Order
(250mm focal distance) lens
- (b) The short dark period between flashes in the group
is 5.6 secs so that the whole cycle of 30 secs is
made up as follows:

Flash	0.4 sec
Eclipse	5.6 secs
Flash	0.4 sec
Eclipse	5.6 secs
Flash	0.4 sec
Eclipse	17.6 secs
<u>TOTAL</u>	<u>30.0 secs</u>

All rounded to
nearest tenth
of a second

Our information is that the light was flashing to
character.

Yours faithfully

J R Welsh, Secretary

SECTION II
CORRECTIONS TO PUB 112, LIST OF LIGHTS, 21 MAY 1977 EDITION— Continued

15310 F 2502	San Miguel Island, about 200 feet from N.W. extremity.	12 43 123 35	Cp. Fl. W. (3)..... period 15 ^s	222 68	5 Concrete tower; 36..... .	Visible 6°-228°. .	47/77
18263	— W. breakwater.....	37 03 129 25	Fl. G..... period 3 ^s	36 11	2 White quadrangular iron framework; 27. .		47/77
18370 F 4428	— E. head of detached breakwater.	36 41 129 28	Fl. G..... period 5 ^s	30 9	2 White square iron framework tower; 22. .		47/77
18930 F 4420	— Head of S. breakwater....	36 30 129 27	Fl. G..... period 3 ^s	33 19	2 White square iron tower; 30. .		47/77
18950 F 4415	— No. 1 Light, head of W. breakwater.	Fl. G..... period 3 ^s	30 9	5 White square iron framework structure; 32. .		47/77
22000 F 2400	Hsiung-Ti Tao.....	23 32 117 41	Cp. Fl. W. (3)..... period 6 ^s	5.....		47/77
24235 F 2855.7	Pulau Perhentian Besar....	5 53 102 42	Fl. W..... period 7 ^s	145 44	5 Pedestal on rock.....		47/77
39000 K 0104	— Extension of S. breakwater.	33 57 25 39	Fl. W..... period 2 ^s	Marks works in progress (1977). .	47/77

CORRECTIONS TO PUB 113, LIST OF LIGHTS, 15 JANUARY 1977 EDITION

8355 E 0512	Cep Leucate.....	42 55 3 03	Cp. Fl. W. (2)..... period 10 ^s L. 0.2 ^s , ec. 7.3 ^s L. 0.2 ^s , ec. 2.3 ^s	216 66	21 White pyramidal tower, red top; 57. .		47/77
15251	— Refuge harbor, head of west mole.	F. R.....	26 8	4 Pile, red and white bands.. .		47/77
15252	— Head of wharf.....	F. R., F. G. (var.).	43 13	4 Pile, red and black bands.. .		47/77
41351 D 5434	— Marcus Island, S. side....	33 03 17 54	Cp. Fl. W. (2)..... period 10 ^s fl. 5 ^s , ec. 2.5 ^s fl. 0.5 ^s , ec. 6.5 ^s	59 18	10 Lattice mast.....		47/77
41356 D 5433	— Eland Point.....	33 04 17 55	Fl. W..... period 5 ^s	114 35	9 Metal framework tower..... .		47/77

CORRECTIONS TO PUB 114, LIST OF LIGHTS, 6 AUGUST 1977 EDITION

7330 A 2562	Pentland Skerries, on Xuckle Skerry.	58 41 2 55	Cp. Fl. W. (3)..... period 30 ^s fl. 0.4 ^s , ec. 5.6 ^s fl. 0.4 ^s , ec. 5.6 ^s fl. 0.4 ^s , ec. 17.6 ^s	170 52	19 White tower; 118.....	Siren (old lighthouse) 1 bl. ev. 90 ^s . Distress signals.	47/77
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Note.—*Indicates last column in which a correction has been made or new information added.

PUB. 14

LIST OF LIGHTS

AND FOG SIGNALS

1978

(4 November)

IMPORTANT
THIS PUBLICATION SHOULD
BE CORRECTED EACH
WEEK FROM THE
NOTICE TO MARINERS

BRITISH ISLES, ENGLISH CHANNEL
AND NORTH SEA



PUBLISHED BY THE DEFENSE MAPPING AGENCY
HYDROGRAPHIC/TOPOGRAPHIC CENTER
WASHINGTON, D.C. 20315

Fog signals

(1) No.	(2) Name and location	(3) Position lat., long.	(4) Characteristic	(5) Height	(6) Range (miles)	(7) Structure, height (feet)	(8) Sector, Remarks, Fog
SCOTLAND—EAST COAST							
7290 A 3344	Moss Head.....	N. W. 58 29 3 03	Fl. W. R period 30" fl. from 2.5" to 5"	175 53	W. 19 R. 17	White stone tower; 60	R. shore—191", W. —shore. Diophanes: 3 quick bl. ev. Distress signals.
7300 A 3343	— AVIATION LIGHT	58 28 3 05	Alt. Co. Fl. W. G. (4) period 8" fl. G. 0.7", ec. 0.6" fl. W. 0.7", ec. 0.6" fl. W. 0.7", ec. 0.6" fl. G. 0.6", ec. 4.1"				
SCOTLAND—NORTH COAST							
7320 A 3348	Duncansby Head.....	58 39 3 01	Fl. W. period 6" fl. 0.7", ec. 5.3"	220 67	17	White tower; 36.....	Siren: 5 bl. ev. 2 min. Fog.
7330 A 3347	Parthead Skerries, on Huckle Skerry.	58 41 2 55	Cp. Fl. W. (3) period 30" fl. 0.4", ec. 5.6" fl. 0.4", ec. 5.6" fl. 0.4", ec. 17.6"	170 52	19	White tower; 118.....	Siren: (old lighthouse) 1 bl. 90" Distress signals.
7340 A 3346	Locher Rock	58 44 2 59	Ok. Fl. W	36 11	6	Black pyramidal beacon; 40.	
7350 A 3345	Straen, Swilkie Point	58 42 3 07	Cp. Fl. W. (2) period 20" 2 fl. each 0.5"	85 25	16	White tower; 74.....	Siren: 2 bl. ev. 60" in quick cession. Radiobeacon. Distress signals.
7360 A 3374	Dunnet Head	58 40 3 22	Cp. Fl. W. (4) period 30" fl. 1", ec. 4" fl. 1", ec. 4" fl. 1", ec. 4" fl. 1", ec. 14"	346 105	20	White stone tower; 65	Siren: 3 bl. in quick ev. 50"
7370 A 3373	Holburn, Little Head, W. side of Thurso Bay.	58 37 3 32	Fl. W. R period 10" fl. 1", ec. 9"	75 23	W. 15 R. 11	White tower; 55	W. 108"—358", R.—shore. Siren: 1 bl. ev. 20"
7372 A 3380	Strawby Point.....	58 36 4 01	Fl. W. period 20" fl. 0.5", ec. 19.5"	146 45	18	White low tower on white dwelling; 45.	Diophanes: 4 bl. ev. 50"
7380 A 3380	Thurso, N. head of break- water.	58 36 3 30	F. R	15 5	4	Red post; 10	Shown from Sept. 1 to Apr. 30
7390 A 3383	— Front		F. G	15 5	4	White post; 10.....	
7390.1 A 3383.1	— Rear, about 195° from front.		F. G	20 6	4	White post; 15.....	
7400 A 3384	Scrabster Harbor, head of E. pier.	58 37 3 33	F. W	10 3	4	White post; 9.....	Shown from Aug. 1 to May 31
7401 A 3383	— Outer pier.....	58 37 3 33	Ok. Fl. G	19 6	4	Post.....	
7410 A 3386	— Head of W. pier.....		F. R	10 3	4	White circular tower; 9	Shown from Aug. 1 to May 31

75°, absc. — 79°
shown on chart

to Mar. 31.

vessels.

gnals.
ices ev. 10"
season).

not above high
from a post at

23

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TELEX: ITT 422219
WUI 62344
WU 12-3100

January 30, 1978

WASHINGTON OFFICE
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CHARLES MACCHING, JR.
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OUR REF. 84928

Defense Mapping Agency
Hydrographic Center
Washington, D. C. 20390

Attention: Mr. Glenn R. DeYoung,
Chief
Navigation Information Division

SS PIONEER COMMANDER
Your Ref: Serial 7284/NVI

Dear Sirs:

Thank you for your letter of 24 January 1978. We are asking our British correspondents to pursue inquiries in the United Kingdom.

We appreciate your cooperation.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

BY:

Richard H. Brown

RHB:ffc.

KIRLIN, CAMPBELL & KEATING

ONE TWENTY BROADWAY

NEW YORK, N.Y. 10005

212-732-5520

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TELEX: ITY 422219

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January 6, 1978

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ERNESTO V. LUCIANO

Defense Mapping Agency
Hydrographic Center
Washington, D.C. 20390

Attention: Mr. Glenn R. De Young
Chief
Navigation Information Division

Re: Request for information
concerning List of Lights
Pentland Skerries
Your Ref: Serial 7273/NVI

Dear Sirs:

We refer to previous correspondence in this matter,
most recently our letter of December 12, 1977.

We have now heard through our British correspondents
from the Northern Lighthouse Board, 84 George Street, Edinburgh,
EH2 3DA, Scotland that Pentland Skerries Light has been showing
its present characteristics since 1958. If that is correct, it
would appear that you or your predecessor agency have been
publishing incorrect information on the light since prior to
March 1965. Specifically, to summarize our understanding, the
situation was that you or your predecessor agency, before March
1965, showed Pentland Skerries Light's characteristics to be:

Flash 4 seconds	Eclipse 1 second
Flash 4 seconds	Eclipse 1 second
Flash 4 seconds	Eclipse 16 seconds.

You changed this in March 1965 to:

Flash 0.4 second	Eclipse 0.1 second
Flash 0.4 second	Eclipse 0.1 second
Flash 0.4 second	Eclipse 28.6 seconds.

1/6/78
84928

Meanwhile, according to the Northern Lighthouse Board, since 1958 the light in fact was operating:

Flash 0.4 second	Eclipse 5.6 seconds
Flash 0.4 second	Eclipse 5.6 seconds
Flash 0.4 second	Eclipse 17.6 seconds.

We enclose a copy of the pertinent page (240) of the Admiralty List of Lights and Fog Signals, Volume A for 1977, NP 1974, British Isles and North Coast of France showing that Pentland Skerries Light is described simply as "fl 0.4, 3 times in quick succession." The true characteristics described above are not published (at least not currently), and we learned them only by inquiry to the Northern Lighthouse Board.

Frankly, we are very puzzled as to how two wrong descriptions of the light's characteristics got into the U.S. publications, and we hope that can be cleared up. To that end:

- (1) We should be greatly obliged if you could let us have any information you have as to the characteristics your publications indicated for Pentland Skerries Light going back to, say, 1938 and also let us know, if possible, the sources for any changes that may have taken place since 1938.
- (2) You wrote earlier that you could not identify the source for the March 1965 change. However, can you tell us in general what documents (presumably British) you rely on for information as to these lights, from what agencies you have been receiving such information over the years, and the types of the publications (notices, Admiralty lists, letters, etc.) on which you generally rely.

We are trying to find out from the Northern Lighthouse Board what characteristics the light was showing before 1958.

We regret having to trouble you again. However, if possible, we do wish to understand the situation, and anything you can do to help will be appreciated.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

By: *Richard H. Brown*

RHB:gt

Enclosure

Scotland - East Coast

240

	N/W					
WICK—(cont'd)						
3537	— Jetty, SE corner	58 26-4 3 04-9	FR	6	..	Metal mast 4
						FR on Harbour Quay not visible from seaward
3540	— North Head	58 26-6 3 03-5	Siren 30s
						bl 4, TD
3543	—	58 27-7 3 04-5	AeroAlitGpFl(4) GWG 8s
						Gfl 0-7, ec 0-6, Wfl 0-7, ec 0-6, Wfl 0-7, ec 0-6, Gfl 0-6, ec 4-1
3544	Ness Head (N)	58 28-8 3 03-0	Fl WR 30s	53	W20 R17	White stone tower 18
			Dia(3) 90s
						fl 2-5 to S. R shore—191°, W191°—shore 3 bl each of 2-5 in quick succession

Scotland - North Coast and Orkney Islands

PENTLAND FIRTH						
3555	— Duncansby Head (S)	58 38-6 3 01-4	Fl W 6s	67	17	White tower 11
			Siren (5) 120s
						fl 0-7, Racon bl 2-5, 5 times in quick succession
3562	— Pentland Skerries, Muckle Skerry (N)	58 41-4 2 55-4	GpFl(3)W 30s	52	25	White tower 36
			Siren 90s	White tower
						fl 0-4, 3 times in quick succession Distress signals bl 7
3564	— Lother Rock (N)	58 43-8 2 55-5	QR Fl W	11	6	Black pyramidal beacon 12
3566	— Swona, Near SW end (N)	58 44-2 3 02-3	Fl W 8s	12	9	White tower 7
						fl 2 Vis 261°—210°(309°)



DEPARTMENT OF DEFENSE
HYDROGRAPHIC CENTER
WASHINGTON, D.C. 20390

24 JAN 1978

Serial 7284/NVI

Mr. Richard H. Brown, Jr.
Kirlin, Campbell & Keating
120 Broadway
New York, N.Y. 10005

Dear Mr. Brown:

Reference is your letter 84928 of 6 January 1978.

Since 1938 the only changes to the characteristics of Pentland Skerries Light known to this Center are those you are presently aware of. That is the change made in March 1965, and the correction provided in your letter of 14 October 1977. This latest correction was published in our Notice to Mariners No. 47 dated 19 November 1977.

In general, source material available to this Center for information pertaining to lights in the concerned area is that of the Admiralty Notice to Mariners and the Admiralty List of Lights and Fog Signals. It should be noted, however, that intermittently we do receive authoritative information from third parties such as was provided in your earlier correspondence.

Sincerely,

GLENN R. DEYOUNG
Chief
Navigation Information Division



25
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CABLEGRAMS "VASEFIELD NEWYORK"
TELEX. ITT 42210
WUI 02344
WU 12-8100

December 12, 1977

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OUR REF. 84928

Defense Mapping Agency
Hydrographic Center
Washington, D.C. 20390

Attention: Mr. Glenn R. De Young
Chief
Navigation Information Division

Re: Request for information
concerning List of Lights
Pentland Skerries
Your Ref: Serial 7273/NVI

Dear Sirs:

Thank you for your letter of 8 December 1977.

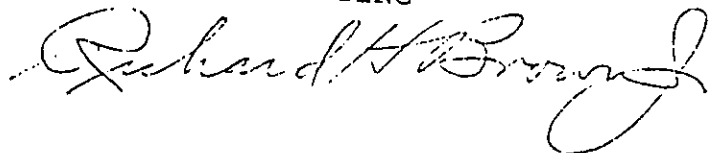
At present we have no further questions. As mentioned earlier, we are making inquiries of the English authorities, and it is conceivable that further information from them may cause us to address you again.

We very much appreciate your cooperation.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

BY:



RHB: tfc.

KIRLIN, CAMPBELL & KEATING

ONE TWENTY BROADWAY

NEW YORK, N. Y. 10005

212-732-5520

CABLEGRAMS: VASEFIELD NEW YORK

TELEX: ITT 422210

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WU 12-0108

December 1, 1977

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OUR REF. 84928

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Defense Mapping Agency
Hydrographic Center
Washington, D.C. 20390

Attention: Mr. Glenn R. De Young
Chief
Navigation Information Division

Re: Request for information
concerning List of Lights
Pentland Skerries
Your Ref: Serial 7253/NVI

Dear Sirs:

Thank you very much for your letter of November 28, 1977
and its enclosure.

We regret that every communication from you seems to
inspire another question from us. However, we would very much
appreciate it if you would tell us whether there is any possi-
bility of identifying the individual who made the changes with
regard to Pentland Skerries Light on your working standard. In
that connection, it appears to us that the changes may have been
initialed or the individual may be otherwise identifiable.

We very much appreciate your cooperation.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

By:

Richard H. Brown Jr.

RHB: tfc.



DEFENSE MAPPING AGENCY
HYDROGRAPHIC CENTER
WASHINGTON, D.C. 20390

8 DEC 1977

Serial 7273/NVI

Kirking, Campbell & Keating
120 Broadway
New York, N.Y. 10005
Attn: Mr. Richard H. Brown Jr.

Dear Sirs:


Reference is your letter 84928 of 1 December 1977.

I have examined Pub. 114, Change 5 working standard, and cannot find any initials or other markings that would indicate the individual who made the correction to Pentland Skerries Light.

Similarly, personnel now in the working area have no recollection of the incident.

It is regretted that I am unable to fulfill your request.

Sincerely,


GLENN R. DEYOUNG
Chief
Navigation Information Division



CABLEGRAMS "VASEFIELD NEW YORK"
TELEK. INT. 42201D
WUI 62364
WU 12 0150

KIRLIN, CAMPBELL & KEATING

ONE TWENTY BROADWAY

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212-732-5520

November 17, 1977

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CHARLES MAECHLING, JR.

OUR REF. 84928

Defense Mapping Agency
Hydrographic Center
Washington, D.C. 20390

Attention: Mr. Glenn R. De Young
Chief
Navigation Information Division

Re: Request for information
concerning List of Lights
Pentland Skerries
Your Ref: Serial 7253/NVI

Dear Sirs:

With reference to your letter of 14 November 1977 a question has occurred which we should have mentioned in our acknowledgment.

We would appreciate it if you could tell us what characteristics were indicated for Pentland Skerries Light prior to the correction in Change 5 of March 1965. If you could furnish us a Xerox copy of the appropriate page in the List of Lights indicating the characteristics prior to that change, we would very much appreciate it.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

BY: *Richard H. Brown, Jr.*

RHB:tfc.



DEFENSE MAPPING AGENCY
HYDROGRAPHIC CENTER
WASHINGTON, D.C. 20390

18 Nov 1977

Serial 7266/NVI

Kirling, Campbell & Keating
120 Broadway
New York, N.Y. 10005
Attn: Mr. Richard H. Brown Jr.

Dear Sirs:

This is in response to your letter of 17 November 1977, requesting the characteristics of Pentland Skerries Light prior to the correction in Change 5 of March 1965.

Prior to the above date the characteristics of Pentland Skerries Light was carried in Pub. 114 as Gp. Fl. W. (3), period 30 seconds, fl. 4 seconds, eclipse 1 second, flash 4 seconds, eclipse 1 second, flash 4 seconds, eclipse 16 seconds. A xerox copy of the appropriate Pub. 114 page on issue prior to Change 5 is enclosed. This copy is taken from our working standard, in preparation for Change 5, which accounts for the hand markings on the page.

Sincerely,

Glenn R. DeYoung
GLENN R. DEYOUNG
Chief

Navigation Information Division

Enclosure a/s

bc: Code CO
B. C. Wimbush

Coordinate with DMAHQ Counsel



No.	Name and location	Position lat. long.	Characteristic and power	Height of light above high water (feet)	Visi- bility (nau- tical miles)	Structure, height (feet)	Structure, Remarks, Fog sig.
SCOTLAND-NORTH COAST							
7320 A 2558	Duncansby Head.....	N. W. 53 39 3 01	Fl. W period 6 ^s fl. 0.7 ^s , ec. 5.2 ^s Cp. 30,000	220	20	White tower, 36.....	Siren 5 bl. ev. 2 mins. Telephone.
7330 A 2559	Pemland Skerries, on Munkie Skerry.	53 41 2 55 <i>2 46</i> <i>3 46</i> <i>0 46</i>	Cp. Fl. W. (3)..... period 30 ^s fl. 4 ^s , ec. 3 ^s fl. 2 ^s , ec. 2 ^s fl. 4 ^s , ec. 15 ^s Cp. 710,000	170 ⁵	19	White tower, 113.....	Siren (old lighthouse) 1 bl. 90 ^s . Radiotelephone. Distress signals.
7340 A 2560	Lothar Rock..... II.	53 44 2 59	Cp. Fl. W. (2)..... period 10 ^s fl. 1 ^s , ec. 1 ^s fl. 1 ^s , ec. 7 ^s Cp. 400	25	10	Black pyramidal beacon, 40.	
7350 A 2561	Strome, Skinnie Point.....	53 42 3 07	Cp. Fl. W. (6)..... period 30 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 17.3 ^s Cp. 156,000	104	15	White tower, 74.....	Siren 2 quick bl. ev. 60 ^s . Radiobeacon. Radiotelephone.
7360 A 2573	Dunnet Head.....	53 40 3 22	Cp. Fl. W. (4)..... period 30 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 14 ^s Cp. 141,000	345	25	White stone tower, 66.....	Telephone Siren 3 bl. in quick success ev. 90 ^s .
7370 A 2583	Halbous, Little Head, W. side of Thurso Bay.	58 37 3 32	Fl. —Y. R..... period 10 ^s fl. 1 ^s , ec. 9 ^s Cp. W. 15,000 R. 8,000	75	14	White tower, 55.....	W. 198°-353°, R.-lead. Siren 1 bl. ev. 20 ^s . Telephone. Distress signals.
7372 A 2590	Srenthy Point.....	53 35 4 01	Fl. W..... period 20 ^s fl. 0.5 ^s , ec. 19.5 ^s Cp. 1,600,000	135	17	Diphone 4 bl. ev. 50 ^s .
7380 A 2580	Thurso, N. head of break- water.	53 35 3 20	F. R..... Cp. under 100	15	5	Red post; 10.....	Shown from Sept. 1 to Apr. 30
7390 A 2582	— Front.....	F. G.....	15	5	White post; 10.....	
7390.1 A 2582.1	— Rear, about 185° from boat.	F. G.....	20	5	White post; 15.....	
7400 A 2584	Scrabster Harbor, head of E. pier.	53 37 3 33	F. W..... Cp. under 100	10	6	Post; 9.....	Shown from Aug. 1 to May 31.
7410 A 2526	— Head of W. pier.....	F. R..... Cp. under 100	10	5	White circular tower; 9.....	Shown from Aug. 1 to May 31.

KIRLIN, CAMPBELL & KEATING

ONE TWENTY BROADWAY

NEW YORK, N.Y. 10005

212-732-5520

CABLEGRAMS "VASEFIELD NEWYORK"

TELEX: ITT 422219

WUI 62344

WU 12-0198

November 16, 1977

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CHARLES MAECHLING, JR.
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OUR REF. 84928

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Defense Mapping Agency
Hydrographic Center
Washington, D.C. 20390

Attention: Mr. Glenn R. DeYoung,
Chief
Navigation Information Division

Re: Your Serial 7262/NVI

Dear Sirs:

Thank you for your letter of 14 November 1977 concerning
Pentland Skerries Light.

We appreciate your cooperation in this matter and will
let you know if we have need to make any further inquiries.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

BY: *Richard H. Brown*

RHB:tfc.

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CABLEGRAMS "VASCFIELD NEWYORK"

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WU 12-0198

November 1, 1977

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OUR REF. 84928

Defense Mapping Agency
Hydrographic Center
Washington, D.C. 20390

Attention: Mr. Glenn R. De Young
Chief
Navigation Information Division

Re: Request for information
concerning List of Lights
Pentland Skerries
Your Ref: Serial 7253/NVI

Dear Sirs:

Thank you for your letter of 27 October 1977.

Your letter is most helpful and we appreciate your writing. However, we would further appreciate it if we could have some additional specific information.

1. You write that the characteristics of Pentland Skerries Light, as shown in Pub. 114, "have remained unchanged for some period of time." We would appreciate it if you could tell us when those characteristics, i.e., the characteristics described on page 1 of our October 14, 1977 letter, were first published in Pub. 114 or its predecessor.

2. You also write that "Corrective information for navigational lights in these waters is taken from United Kingdom sources ..." We presume that the description of characteristics contained in Pub. 114 was obtained from a United Kingdom source. Is that correct? If so, we would appreciate your identifying the source so that our correspondent English solicitors may make the necessary inquiries in the United Kingdom.

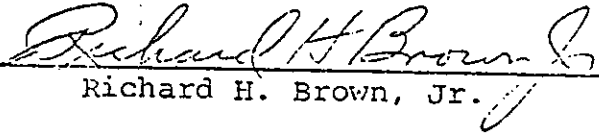
3. Finally, now that you have received information from us indicating that the Pentland Skerries Light's characteristics may differ from those found in Pub. 114, is it correct to infer that you will check with the United Kingdom authorities to verify such a difference and ascertain when it first came into being? If so, we would appreciate learning what they tell you about it.

We thank you for your assistance so far and would appreciate your further advices.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

By:


Richard H. Brown, Jr.

RHE:tfc.

14 NOV 1977

Serial 7262/NVI G.R.DeYoung-GS/14/31335/bhf/14 November 17/R.S. ^{299:} ~~1000~~

Kirlin, Campbell
and Keating
120 Broadway
New York, N.Y. 10005

Dear Sir:

This is in reply to your letter of 1 November 1977, requesting additional information regarding the characteristics of Pentland Skerries Light.

Our records show that the characteristics of Pentland Skerries Light was corrected in Change 5, of March 1965. Due to the length of time involved, our records no longer show the actual source for this corrective change.

Notice to Mariners No. 47 of 19 November 1977 corrected the characteristics of this light. This correction was based upon the information furnished by your Office, subsequently, we do not plan on contacting British sources unless unforeseen circumstances arise.

Sincerely,

/s/
GLENN R. DEYOUNG
Chief
Navigation Information Division

bc: DMAHQ-Code CO

LA3 (2 cys)
NV Read
Ofc. of Recd
NVI Comeback

Coordinate with DMAHQ-Code CO

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WU 12-6108

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NEW YORK, N. Y. 10005

212-732-5520

October 14, 1977

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RESIDENT PARTNERS

OF COUNSEL
CHARLES MACCHLING, JR.

OUR REF. 85062

Defense Mapping Agency
Hydrographic Center
Washington, D.C. 20390

Re: SS PIONEER COMMANDER
Stranding, Pentland Skerries
August 13, 1977

Request for information
concerning List of Lights

Dear Sirs:

We are attorneys for United States Lines, Inc., owner of the PIONEER COMMANDER, with respect to the above-mentioned stranding.

In connection with our investigation we have learned of an apparent discrepancy between the description of the characteristics of Pentland Skerries Light in the lists of lights and the light's actual characteristics. We would appreciate it if you could answer the questions set forth below.

As indicated in Attachment A, the characteristics, as described in Pub. 114, List of Lights and Fog Signals for the British Isles, English Channel and North Sea, of Light No. 7330 (Pentland Skerries) are:

Gp. Fl. W. (3), period 30s
Fl 0.4s, EC 0.1s
Fl 0.4s, EC 0.1s
Fl 0.4s, EC 28.6s.

So far as we can determine, there has been no subsequent published change to those characteristics in Notices to Mariners or elsewhere. Our questions are:

Question 1: What is the specific source and date of your information that Pentland Skerries Light had the above-described characteristics?

Question 2: (a) Have you received any information that there has been any change in the light's characteristics from those stated above? (b) If so, please tell us the source(s) and date(s) of such information.

Question 3: (a) Have you issued any notice of any change in the light's characteristics from those stated above? (b) If so, please describe such notice and give the date thereof.

In answering Questions 1 through 3, we would appreciate it if you could also furnish Xerox copies of any documents you refer to. We would be happy to pay any charges in connection with your response to our requests.

We should point out that Messrs. Hill, Dickinson & Co., an English firm of solicitors who also represent the PIONEER COMMANDER interests, have made and are making inquiries of the British authorities as to the light's characteristics. They have received a reply from the Northern Lighthouse Board dated October 3, 1977 (copy enclosed as Attachment B) indicating that the light's characteristics were:

Fl 0.4s, Ec 5.6s
Fl 0.4s, Ec 5.6s
Fl 0.4s, Ec 17.6s
Total 30 seconds.

As you can see, this differs from the information in Pub. 114. Attachment B does not say when the light commenced showing those characteristics. Moreover, we are informed that the British Admiralty List of Lights and Fog Signals, Volume A.1977, British Isles and North Coast of France describes the light as "Gp. Fl. (3) W 30s" and "Fl. 0.4, 3 times in quick succession" without further detail as to precise periods of flash and eclipse. So far as we know, there has been no modification of that description, at least prior to the stranding. The description seems inconsistent with the description in Attachment B, but does seem consistent with the description in Attachment A. Messrs. Hill, Dickinson are inquiring

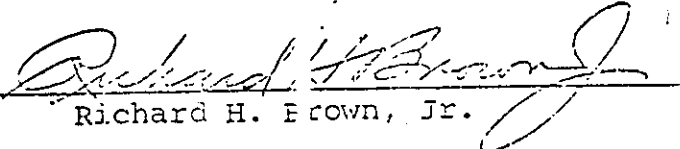
further in England as to these apparent discrepancies and uncertainties.

We trust that you will be able to answer the above questions and look forward to your advices.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

BY:


Richard H. Brown, Jr.

RHB:tfc.

Encls.

cc (w/o enc.):

Messrs. Hill, Dickinson & Co.

Attention: M. John Maxwell, Esq.

ATTACHMENT A

(from PUB. 114)

(1) No.	(2) Name and location	(3) Position lat. long.	(4) Characteristic	(5) Height	(6) Range (miles)	(7) Structure, height (feet)	(8) Sectors, Remarks, Fog signals
SCOTLAND-NORTH COAST							
7320 A 3558	Duncansby Head.....	N. W. 58 39 3 01	Fl. W. period 6 ^s fl. 0.7 ^s , ec. 5.3 ^s	220 67	17	White tower; 35.....	Siren: 5 bl. ev. 2 mins. Rocan.
7320 A 3559	Penland Skerries, on Muckle Skerry.	58 41 2 55	Gp. Fl. W. (3) period 10 ^s fl. 0.4 ^s , ec. 0.1 ^s fl. 0.4 ^s , ec. 0.1 ^s fl. 0.4 ^s , ec. 28.6 ^s	170 52	19	White tower; 118.....	Siren: (old lighthouse) 1 bl. ev. 90 ^s . Distress signals.
7340 A 3554	Locher Rock	58 44 2 59	Qk. Fl. W.	35 11	6	Black pyramidal beacon; 40.	
7350 A 3568	Stroma, Swilkie Point	58 42 3 07	Gp. Fl. W. (2) period 20 ^s 2 fl. each 0.5 ^s	85 25	16	White tower; 74.....	Horn: 2 bl. ev. 60 ^s in quick suc- cession. Radiobeacon. Distress signals.
7350 A 3574	Dunnet Head	58 40. 3 22	Gp. Fl. W. (4) period 30 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 14 ^s	345 105	20	White stone tower; 66	Siren: 3 bl. in quick succession ev. 90 ^s .
7370 A 3578	Holm, Little Head, W. side of Thurso B. y.	58 37 3 52	Fl. W. R. period 10 ^s fl. 1 ^s , ec. 9 ^s	75 23	W. 15 R. 11	White tower; 55	W. 198°-358°, R.-shore. Horn: 1 bl. ev. 20 ^s .
7372 A 3550	Strathay Point.....	58 35 4 01	Fl. W. period 20 ^s fl. 0.5 ^s , ec. 19.5 ^s	146 45	18	White low tower on white dwelling; 45.	Diaphone: 4 bl. ev. 90 ^s .
7380 A 3580	Thurso, N. head of break- water.	58 36 3 30	F. R.	15 5	4	Red post; 10.....	Shown from Sept. 1 to Apr. 30.
7390 A 3582	— Front		F. G.	15 5	4	White post; 10.....	
7390.1 A 3582.1	— Rear, about 195° from front.		F. G.	20 6	4	White post; 15.....	
7400 A 3584	Scrabster Harbor, head of E. pier.	58 37 3 33	F. W.	10 3	4	White post; 9.....	Shown from Aug. 1 to May 31.
7401 A 3583	— Outer pier	58 37 3 33	Qk. Fl. R.		3	
7410 A 3585	— Head of W. pier.....		F. R.	10 3	4	White circular tower; 9	Shown from Aug. 1 to May 31.
SCOTLAND-ORKNEY ISLANDS							
7420 A 3586	Swona, near SW. extremity...	58 44 3 04	Fl. W. period 5 ^s fl. 2 ^s , ec. 6 ^s	57 17	9	White tower; 22.....	Obscured 210°-261°.
7430 A 3600	Tor Ness, S. side of Hoy Island.	58 47 3 18	Fl. W. period 3 ^s fl. 1 ^s , ec. 2 ^s	64 20	9	White tower on concrete base; 22.	
7440 A 3603	Cantick Head	58 47 3 08	Fl. W. period 20 ^s fl. 0.6 ^s , ec. 19.4 ^s	115 35	17	White tower; 73.....	Storm signals. Horn: 1 bl. ev. 30 ^s . Distress signals.
7420.4 A 3586.4	— N. head	58 45 3 03	Gp. Fl. W. (3) period 10 ^s fl. 0.5 ^s , ec. 1 ^s fl. 0.5 ^s , ec. 1 ^s fl. 0.5 ^s , ec. 6.5 ^s	54 16	10	Column; 6	

ATTACHMENT B



NORTHERN LIGHTHOUSE BOARD
84 George Street Edinburgh EH2 3DA
Telegrams Lighthouse Edinburgh
Telephone 031-226 7051
Telex 72551 (Lighthouse Edin)

84928

Hill, Dickinson & Co
Equity & Law House
47 Castle Street
LIVERPOOL
L2 9UB

Your reference
JIG
Our reference
JRW/DS
Date
3 October 1977

Dear Sir

**PENLAND SKERRIES LIGHTHOUSE
STRANDING OF "PIONEER COMMANDER"**

I write to acknowledge receipt of your letter of 23 September 1977 and in reply to inform you that:-

- (a) The character is produced by a revolving 4th Order (250mm focal distance) lens
- (b) The short dark period between flashes in the group is 5.6 secs so that the whole cycle of 30 secs is made up as follows:

Flash	0.4 sec	} All rounded to nearest tenth of a second
Eclipse	5.6 secs	
Flash	0.4 sec	
Eclipse	5.6 secs	
Flash	0.4 sec	
Eclipse	17.6 secs	
<u>TOTAL</u>	30.0 secs	

Our information is that the light was flashing to character.

Yours faithfully

J.R. Welsh

J R Welsh, Secretary

Serial 7253/NVI G.R.DeYoung/GS/14/31335/bhf/27 October 77/R.S.2900

Mr. Richard H. Brown, Jr.
Kirlin, Campbell & Keating
120 Broadway
New York, N.Y. 10005

Dear Mr. Brown:

This is in reply to your letter 85062 of 14 October 1977,
requesting details regarding the correct characteristics of
Pentland Skerries Light.

The characteristics, as shown in Pub. 114, for this light
have remained unchanged for some period of time. Corrective
information for navigational lights in these waters is taken
from United Kingdom sources, since they are the prime authority
for that area.

Until receipt of your letter (Attachment B), this Center had
not received information regarding any changes or alterations
to Pentland Skerries Light.

We hope the above information will be of help to you.

Sincerely,

15/
GLENN R. DEYOUNG
Chief
Navigation Information Division

NOTE: Coordinated with
Mr. B. Wimberly (Code CO)
who advised reply be made on low key

bc: Mr. B.C. Wimberly
Code CO
Defense Mapping Agency
Bldg. 56, Naval Observatory
Washington, D.C. 20305

cc: LAA3 (2 cys)
NV Read
Ofc of Rcd ~~←~~
NVI Comeback

25

Admiralty

LIST OF LIGHTS

and Fog Signals

*See ^{BA} NM 40/8 for
Corrections until new
Ed ~~A~~ arrives*

VOLUME **A** 1977

BRITISH ISLES AND NORTH COAST OF FRANCE

FROM DUNKERQUE TO
ENTRANCE TO
GOULET DE BREST
INCLUDING NORTH SEA OIL &
GAS PRODUCTION INSTALLATIONS

*Corrected to ANM Weekly
Edition No 1/77 dated
15th January 1977*

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N/W

Scotland -- East Coast

WICK--(contd)

3537	- Jetty, SE corner	58 26-4	FR	6	..	Metal mast	
8538	- Harbour Quay	3 04-9				4	FR on Harbour Quay not visible from seaward
		58 26-4	PIR				
3540	- North Head	3 05-1					Mark end of slipway
		58 26-6	Siren 30s				bl 4, TD
		3 03-5					
3543	-	58 27-7	AcroAlGpFl(4)				
		3 04-5	GWVG 8s				Gfl 0-7, cc 0-6, Wfl 0-7, cc 0-6, Wfl 0-7, cc 0-6, Gfl 0-6, cc 4-1
3544	Noss Head (N)	58 28-8	FJ WR 30s	53	W20	White stone tower	
		3 03-0			R17	18	fl 2-5 to 5. R shore-191°, W191°--shore
			Dia(3) 90s				3 bl each of 2-5 in quick succession

Scotland -- North Coast and Orkney Islands

PENTLAND FIRTH

3558	- Duncansby Head (N)	58 38-6	Fl W 6s	67	17	White tower	fl 0-7. Racon
		3 01-4				11	
			Siren (5) 120s				bl 2-5, 5 times in quick succession
3562	- Pentland Skerries. Muckle Skerry (N)	58 41-4	GpFl(3)W 30s	52	25	White tower	fl 0-4, 3 times in quick succession
		2 55-4				36	Distress signals
			Siren 90s			White tower	bl 7
3564	- Lother Rock (N)	58 43-8	QkFl W	11	6	Black pyramidal beacon	
		2 58-5				12	
3566	- Swona. Near SW end (N)	58 44-2	Fl W 8s	17	9	White tower	fl 2. Vis 261°-210°(309°)
		3 04-1				7	
3566-4	N head	58 45-1	GpFl W 10s	16	10	Fla	
		3 03-4					

CHANGE NO. 1 10 JAN. 76	PUB. 141
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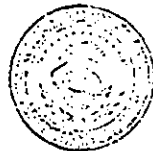
LOOSE LEAF CHANGE PAGES FOR CORRECTING

SAILING DIRECTIONS
(ENROUTE)

FOR

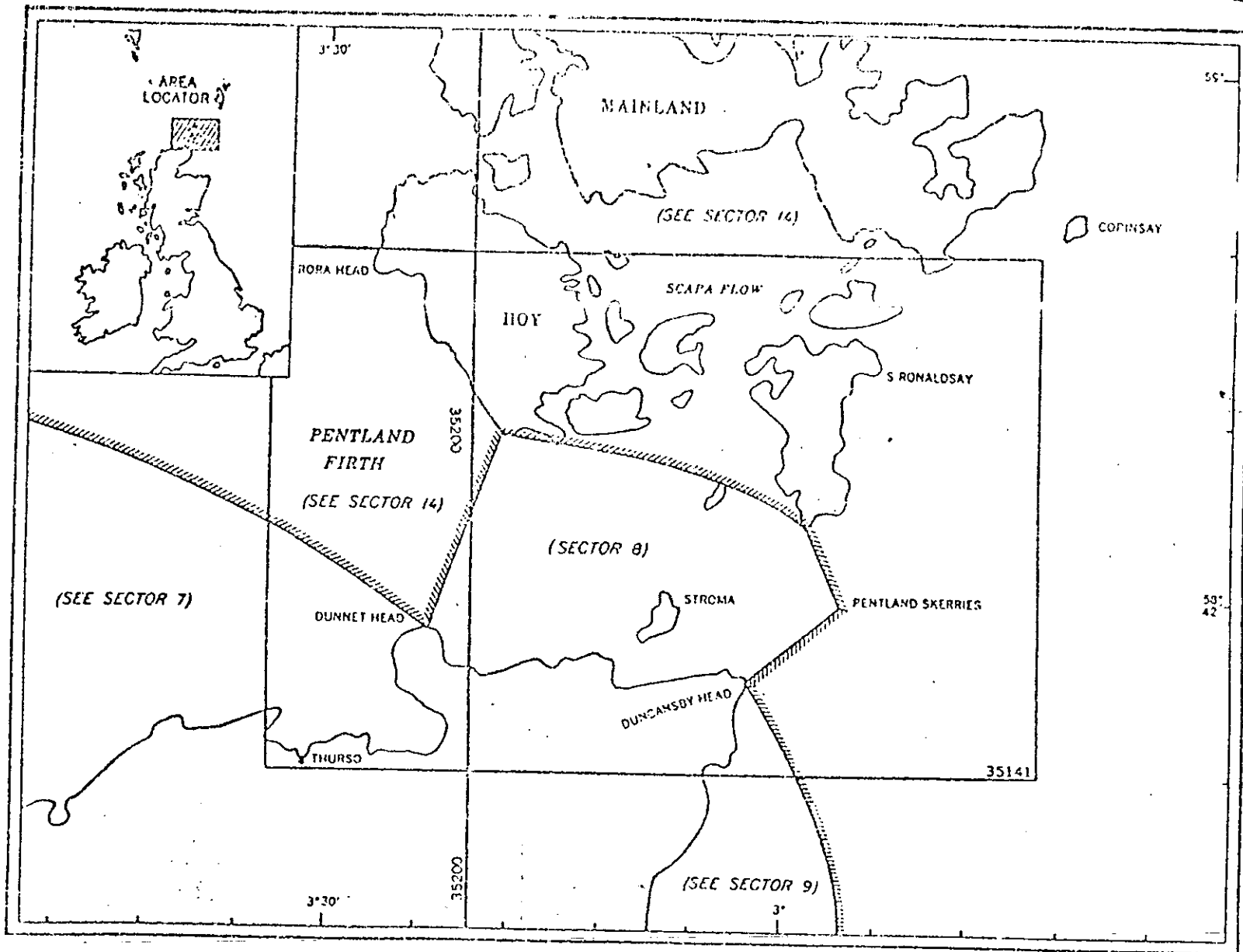
SCOTLAND

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Hydrographic Center



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Additional chart coverage may be found in No. 1-N, Catalog of Nautical Charts.

SECTOR 8

PENTLAND FIRTH

PLAN.—Pentland Firth is described in this sector. The sequence is from west to east.

The south side of the firth from Dunnet Head to Duncansby Head is described first, then the north side, from Tor Ness to Cantick Head.

General.—Pentland Firth is the strait separating the Orkney Islands from the N coast of Scotland. The strait is about 15 miles long in an E—W direction, and Outer Sound, the main channel, lying between the islands of Stroma and Swona, is about 2 $\frac{3}{4}$ miles wide and has depths of 54.8m (30 fm) to 73.1m (40 fm). Inner Sound, a channel about 1 $\frac{1}{2}$ miles wide and with general depths of over 21.9m (12 fm), lies between Stroma and the coast of Scotland.

Pentland Firth is deep and comparatively danger-free, but because of the rapidity of the tidal currents and the unusual conditions resulting therefrom, its navigation can be particularly difficult and hazardous at times. A careful study of the tidal currents should be made before navigating Pentland Firth. The tidal currents in the Outer Sound attain a velocity of 7 to 9 knots, and those in the Inner Sound may attain a rate of 4 to 5 knots. The latter channel is naturally preferable when the current is adverse.

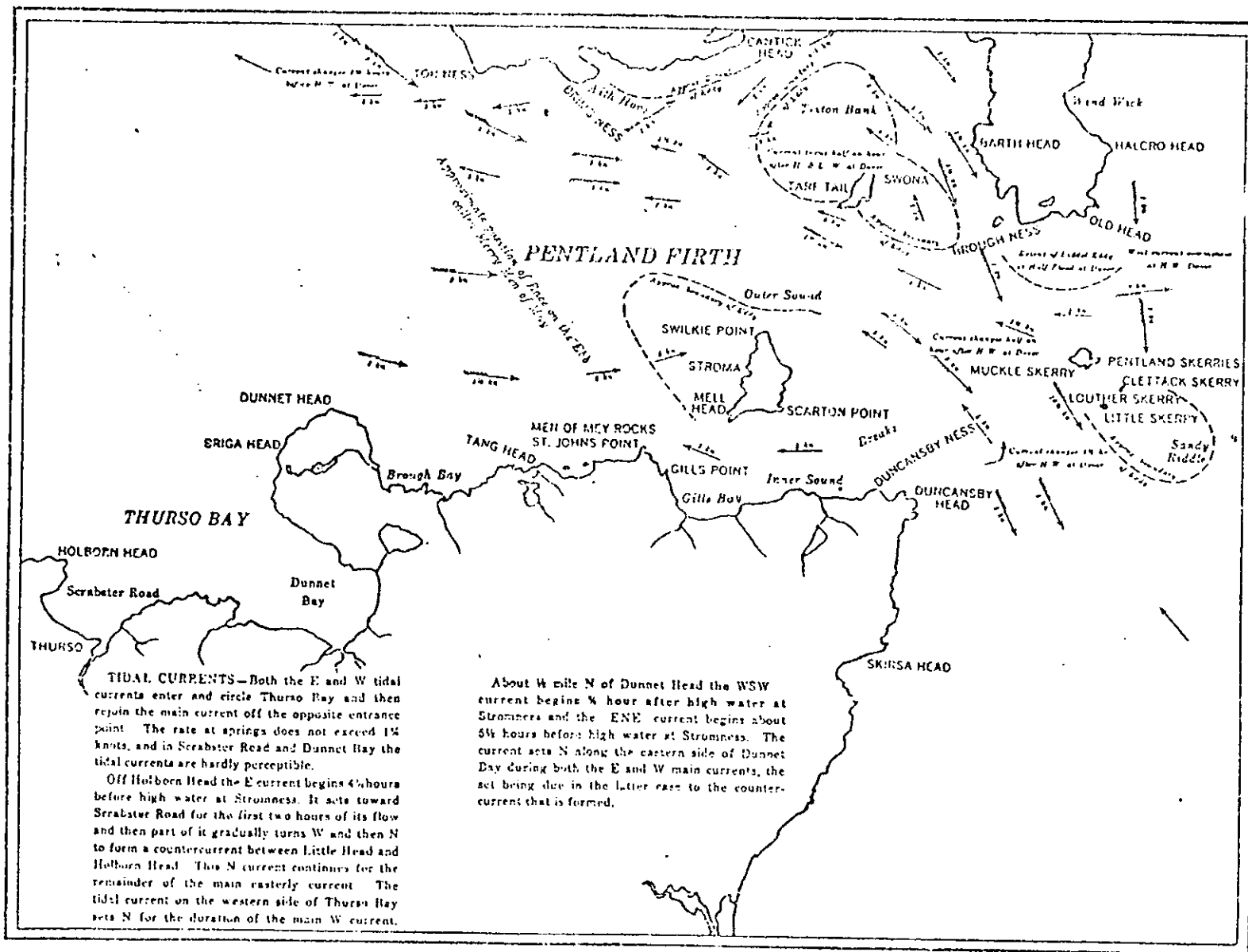
When the sea is smooth and the wind light Pentland Firth is not dangerous, but vessels can easily get into difficulty when encountering the heavy seas that are raised when strong winds and swells oppose the strong tidal currents.

The rapid change from smooth to rough water and the distinct lines of demarcation between the currents and countercurrents and eddies that prevail in the vicinities of the islands and skerries are notable characteristics of Pentland Firth. Even large vessels passing from one current into another may be violently swung around. Vessels entering Pentland Firth should be prepared for rough weather.

Extreme caution is necessary when navigating Pentland Firth in hazy weather and passage through the strait should not be attempted in fog. In the latter event vessels should remain to the westward of Strathy Point.

Note.—Peculiarities concerning the audibility of fog signals in Pentland Firth have been noted. At times the fog signals were less audible when a ship was proceeding toward a fog signal with the stream than against the stream.

The likelihood of hearing the fog signal has been found to be considerably less on the west-going than on the east-going current for vessels approaching Muckle Skerry from the eastward.



SECTOR B—CURRENTS

CURRENTS

Tidal Currents.—The tidal currents for Pentland Firth are shown as insets on the current charts for the Orkney Islands in Sector 14.

Tidal Currents—General Information.—The strong tidal currents, and the tide rips, overfalls, countercurrents, and eddies resulting therefrom, can seriously impede navigation through Pentland Firth. The wide variations in the set and drift of the tidal currents, and the variability in the extent of the rips and countercurrents, make it difficult to allow for their effects with any degree of accuracy. Over a comparatively small area there may be an appreciable difference in the direction and strength of the currents.

Main Currents in Pentland Firth.—The main Easterly current sets through Outer Sound and passes N and S of Pentland Skerries, the S branch setting SE between the skerries and Duncansby Head.

The N part of the main E current sets NE between South Walls and the island of Swona, partly branching N in Scapa Flow and partly turning S between Swona and South Ronaldsay and rejoining the main midchannel current setting through Outer Sound.

The S part of the main E current sets toward the island of Stroma. Close W of the island it divides, partly setting NE, and continuing as the main current, and partly turning SE and thence through Inner Sound and rejoining the main current off Duncansby Head.

The main W current enters Pentland Firth N and S of Pentland Skerries, the branch S of the skerries setting past Duncansby Head in a NW direction. The main body of the current sets through Outer Sound. Westward of Pentland Skerries the N part of the main current branches N to pass between Swona and South Ronaldsay and then W, passing N of Swona and joining the current setting S out of Scapa Flow. These combined currents then set SW between Swona and South Walls and merge into the main W current setting through Outer Sound.

The S part of the main W current separates at the island of Stroma, partly passing through Outer Sound and partly setting S of the island through Inner Sound. This latter branch sets NW out of Inner Sound and then W through the W part of Pentland Firth.

Note.—There is little current at the sides of the channel, and both currents begin 3 hours later than in midchannel. This situation is probably due to countercurrents.

TIDE RIPS—OVERFALLS

In Pentland Firth there are two areas where tide rips occur during both the E and W currents, two areas where they occur during the E current only, and one area where they occur during the W current. The Bore of Duncansby and the Swilkie occur during both the E and W tidal currents. The West Bore of Huna and the Swona Flood Eddy Race occur during the E current. The Merry Men of Mey, a race, occurs during the W current in Pentland Firth.

The Bore of Duncansby.—This tide rip and overfall is caused by the current running over the foul ground extending NW from Duncansby Ness. It begins 5½ hours before high water at Stromness and while the W current is still running. It extends toward Pentland Skerries. When the E current begins about 3½ hours before high water at Stromness, the area of broken water gradually shifts around to the NW. About ½ hour before high water at Stromness, when the E current is strongest, the rips extend beyond the 9.4m (31 ft.) depth near the outer extremity of foul ground, the sea breaking heavily over this depth until about 7½ hours after high water at Stromness.

The Swilkie.—This tide rip, which occurs off Swilkie Point, the N extremity of Stroma, is caused by the countercurrents along the E or W side of Stroma meeting with the main current running through Outer Sound. Rips and whirlpools, which are very heavy when strong winds oppose the main current, are formed. The Swilkie is present at all times except near slack water.

The West Bore of Huna.—This tide rip occurs when the E current is deflected by the island of Stroma through Inner Sound and toward Huna Ness. It is dangerous during E and SE gales.

Swona Flood Eddy Race.—This area of broken water is raised when the general E current N of Swona turns SE and meets the N countercurrent setting along the E side of the island. The rips and whirlpools extend SE from North Head, the N extremity of Swona.

Merry Men of Mey.—This rip extends entirely across the W end of Pentland Firth during the strength of the W current. It begins about 2¼ hours after high water at Stromness and when the current begins to set W through Inner Sound. For the first hour of the W current the rips extend W from the Men of Mey Rocks toward Dunnet Head. As the velocity of the current increases the rips gradually trend NW toward Tor Ness on the opposite side of Pentland Firth, and at the strength of the current the rips extend clear across the W end of the firth. Even in fine weather the rips create a heavy and broken sea. During the last two hours of the main W current through the firth the rips become detached from the Men of Mey Rocks, leaving a passage between the rocks and the broken sea. During W gales or swells and when the current is strongest a terrific turbulence across Pentland Firth is created. This band of broken water forms a natural breakwater, and vessels of sufficient power to avoid being set into it can safely navigate to the E of the Merry Men of Mey.

COUNTERCURRENTS IN PENTLAND FIRTH

During strong tidal currents a countercurrent is setup behind nearly every salient point as the main current sets past.

In the following description the term "eddy" is often synonymous with the term "countercurrent."

Eddies—Easterly Current.—In Pentland Firth there are seven principal eddies or countercurrents during the eastgoing current.

Brough Bay Eddy.—This countercurrent is formed when the E current sets past Dunnet Head. It sets N along the land between Brough Bay and Dunnet Head during all but about the first half hour of the E current.

Gills Bay Eddy.—The countercurrent in Gills Bay is caused by the E current in Pentland Firth setting past St. John's Point. It sets N between Gills Bay and St. John's Point for about the last 3 hours of the E tidal current.

Stroma Flood Eddy.—This eddy, which actually consists of two countercurrents, extends as far as 1 mile E from the E side of Stroma. Part of the main current setting around each end of the island circles around towards its E side

and follows the coast, rejoining the main current off each extremity.

Swona Flood Eddy.—This eddy extends up to nearly 2 miles SE from the E side of the island of Swona. It is similar to the Stroma Flood Eddy.

Switha Eddy.—The island of Switha lies NE of Cantick Head, the SE extremity of South Walls, and is separated from it by Cantick Sound. The current setting S out of Cantick Sound forces the main E current along the S side of South Walls away from the land and then sets towards Brims Ness as a countercurrent. The current out of Cantick Sound begins at about the time of high water at Stromness. The countercurrent extends as far as ¾ mile offshore.

Liddel Eddy.—This countercurrent along the S coast of South Ronaldsay is caused by the main E current being forced away from the land by the current setting S along the E side of South Ronaldsay; the latter current begins about 2 hours before high water at Stromness and as it increases in force it pushes the main E current offshore and runs W toward Lothar Rock. The countercurrent increases in size until about ½ hour before high water at Stromness it occupies about half the area between South Ronaldsay and Muckle Skerry, and by 1½ hours after high water at Stromness and near the end of the E current through Pentland Firth there is only a very narrow band of E current close N of Muckle Skerry.

Pentland Skerries Flood Eddy.—This NW countercurrent forms on the SE side of Pentland Skerries, and it may extend up to 3 miles SE from Little Skerry and Clietack Skerry. Its rate seldom exceeds 1½ knots.

Eddies—Westerly Current.—The four main countercurrents set up by the westgoing current in Pentland Firth are described next.

Pentland Skerries Ebb Eddy.—During the main W current in Pentland Firth small eddies are formed to the W of Muckle Skerry and to the NW of Little Skerry and Clietack Skerry.

Lothar Rock Eddy.—This countercurrent forms W of Lothar Rock. The main W current curves around the rock and towards the W side of South Ronaldsay, finally setting into Bur Wick, the small bay lying NE of Lothar Rock.

Swona Ebb Eddy.—This countercurrent is similar to Swona Flood Eddy, only it occurs on

SECTOR 8. PENTLAND FIRTH

the W side of the island. During the strength of the main W current, it may extend up to about 3 miles NW from the island.

Stroma Ebb Eddy.—This countercurrent may extend to the Merry Men of Mey, about 2½ miles NW of Stroma, during strength of the W current. It is similar to the Stroma Flood Eddy.

NAVIGATIONAL AIDS

Electronic Navigation.—The following rates apply to this position 58°42' N., 3°20' W.

Loran A.—The probable skywave error of 1L0 is 2820 yards. The probable groundwave errors of 1L6, 1L7 and 1S1 are 230, 910, and 185 yards, respectively. The crossing angles between 1L0 and 1L6, 1L0 and 1L7, 1L0 and 1S1, 1L6 and 1L7, 1L6 and 1S1, 1L7 and 1S1 are 50°, 25°, 65°, 25°, 10°, and 35° respectively.

Loran C.—The probable groundwave errors for 7970 W, 7970X, 7970Y, and 7970Z are 15, 35, 80, and 110 yards respectively. The crossing angles between W and X, W and Y, W and Z, X and Y, X and Z, Y and Z, are 42°, 82°, 62°, 39°, 19°, and 20° respectively.

Omega.—The probable errors of A-B, A-D, B-D, B-H, and C-H are 670, 1415, 665, 1255, and 865 yards respectively. The crossing angles between A-B and A-D, A-B and B-D, A-B and B-H, A-B and C-H, A-D and B-D, A-D and B-H, A-D and C-H, B-D and B-H, B-D and C-H, B-H and C-H are 47°, 0°, 44°, 27°, 44°, 82°, 75°, 44°, 27°, and 17° respectively.

PILOTAGE

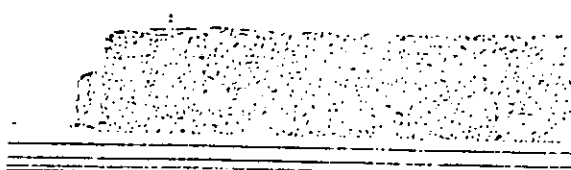
Pilots.—There are no licensed pilots for Pentland Firth available locally, however, the services of pilots for deep-sea and coastwise navigation may be obtained on application to the Forth Pilotage Authority at Leith.

PENTLAND FIRTH—SOUTH SIDE

Coast.—From Dunnet Head, the SW entrance point to Pentland Firth, the coast trends generally SSE 13½ miles and then E 2 miles, forming Brough Bay. Depths in the bay range from 14.6m (8 fm) to 36.5m (20 fm), but its

rocky bottom makes it unsuitable as an anchorage.

Except for The Clets (Clets) of Brough, two rocky islets in the SW corner of the bay, the bay is free of dangers beyond a distance of 4½ yards offshore.



VIEW OF DUNNET HEAD

DUNNET HEAD (58°40' N., 3°22' W.), the N extremity of Scotland and the SW entrance point to Pentland Firth, is a sheer cliff, 122m (400 ft.) high, lying about 2¼ miles NNE of Rough Head. The coast between these two points consists of steep cliffs.

A light is shown on Dunnet Head.

SCARFSKERRY POINT (58°39' N., 3°17' W.), this double-headed point, 9m (30 ft.) high, forms the E entrance point to Brough Bay.

Between Scarfskerry Point and St. John's Point the coast is fringed by a reef up to 500 yards offshore. Mey Bay, a small, shallow bight, lies about midway between the points.

ST. JOHN'S POINT (58°40' N., 3°07' W.), a rugged headland 14.6m (49 ft.) high, is located about halfway between Dunnet Head and Duncansby Head, the NE extremity of Scotland. Mey Hill rises to a height of 72m (235 ft.) immediately S of St. John's Point.

The Men of Mey Rocks, a group of partly drying and above-water rocks, lie close N of St. John's Point. The outermost, a sunken rock, is about 400 yards offshore.

Off-lying Banks.—A bank with depths of 14.6m (8 fm) to 18.3m (10 fm) lies about 1½ miles NW of St. John's Point. Another bank 2½ miles NNW of the point has depths of 21.9m (12 fm) to 36.5m (20 fm).

GILLS BAY (58°39' N., 3°09' W.) is entered between Crees Head and Quoys (Quoyis) Ness.

b
 (H)
 NR
 35/77

The light is backed by steeply sloping hills and fringed by a reef, but there are no dangers more than 400 yards offshore.

The rocky, sandy bottom is poor holding ground.

A depth of 7.3m (24 fm) lies about one mile ENE of Quoys Ness, almost ½ mile offshore.

DUNCANSBY NESS (58°39' N., 3°03' W.) is a low grassy point fringed by a reef, a drying rock lies 300 yards NW of the point. There is a rocky depth of 9.3m (31 ft.) at the N end of a rocky tongue that extends about a mile NNW from Duncansby Ness.

Duncansby Head lies almost a mile ESE of Duncansby Ness, it is described with the coast S of it in Sector 9.

ISLANDS

Stroma (58°41' N., 3°07' W.).—The island of Stroma, some two by one miles in extent in a general N-S direction, lies on the S side of Pentland Firth about 1½ miles N of the mainland. It is separated from Scotland by the Inner Sound. The W side of the island consists almost entirely of cliffs with sunken and drying rocks extending up to 150 yards offshore. The E side of Stroma is mostly flat rock. Cairn Hill, the summit of the island 49m (162 ft.) high, lies close NW of Scarton Point the SE end of the island. A small pier and landing place is located on the S side of the island W of Scarton Point.

STROMA SKERRIES extend 400 yards S from Mell Head, the SW extremity of Stroma. These drying rocks are steep-to on their W sides and shelving on their S and E sides.

Beacon.—A black pyramidal beacon, 40 feet high, consisting of iron pillars topped by a cylindrical cage, marks the SW limits of Stroma Skerries.

Anchorage.—An anchorage area of limited extent lies off the S side of Stroma. Vessels can anchor in 14.6m (5 fm) shells, with Mell Head bearing 267° and the small pier on the S side of the island bearing 013°. There is very little tidal current at the anchorage, but the countercurrent attains a velocity of about one knot.

SWILKIE POINT (58°42' N., 3°07' W.) is the N extremity of Stroma. Stroma Light is shown on the point.

Swona (58°45' N., 3°03' W.).—Swona Island, about half the size of Stroma, lies on the N side of Pentland Firth. The E side of the island is cliffy and steep-to, the W side is low and fringed with rocks. Warbister Hill, the summit of the island is 41m (134 ft.) high. Detached rocks lie up to 300 yards off the W and SE sides of the island.

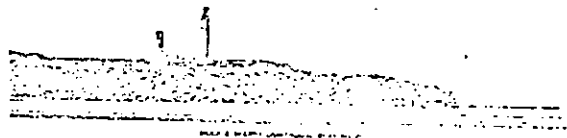
A light is shown on the N side of Tarf Tail the SW extremity of Swona.

Triton Bank, a rocky depth of 36.5m (20 fm) lies 1¼ miles NW of North Head, the N point on Swona.

Pentland Skerries (58°41' N., 2°55' W.).—Pentland Skerries are the islets and rocks lying in the fairway of the E entrance to Pentland Firth. The entrance through the firth leads either N or S of the skerries.

MUCKLE SKERRY, the largest and northernmost of the Pentland Skerries, is a flat grassy islet, 15m (50 ft.) high. Reefs up to 200 yards wide fringe the islet and Bow, a sunken rock with a depth of less than 1.8m (6 ft.), lies close off its NW side.

A light is shown on Muckle Skerry.



LITTLE SKERRY, a rocky islet 6m (20 ft.) high, lies ¾ mile SSE of Muckle Skerry. Rocks extend W 400 yards from the W end of Little Skerry.

Depths in the channel between the islets range from 21.9m (12 fm) to 36.5m (20 fm).

CLETTACK SKERRY, a group of above-water rocks, and **LOUTHER SKERRY**, an above-water rock with sunken rocks extending 200 yards SW from it, lie respectively about ¾ mile and ½ mile NE of Little Skerry. The passages between the islets are foul.

A bank ½ mile wide between the 36.5m (20 fm) curves extends 3½ miles SE from Little

DIRECTIONS

General.—Large vessels, with sufficient power to stem an unfavorable tide, will experience no difficulty in navigating Pentland Firth. The shores are danger-free beyond a short distance off, and the channels are wide and deep. Outer Sound is the channel generally used, although Inner Sound may be used when the tidal currents are unfavorable.

At night Outer Sound only should be used. The light on Muckle Skerry in range with the light on the N end of Stroma, bearing 094°, leads through the W entrance of Pentland Firth. When about 2 miles W of the light on Stroma, vessels should edge N so as to give the light a berth of about ½ mile. After passing the island of Stroma, vessels should gradually bring the light or the S end of the island of Swona to bear 326° astern, maintaining this bearing to pass between Duncansby Head and Pentland Skerries.

In hazy weather extreme caution is necessary, and in foggy weather, vessels from W should not proceed E of Strathy Point, which lies about 20 miles W of the W entrance point.

Vessels proceeding W through Inner Sound, during the strength of the E current, after passing Huna Ness, should keep somewhat N, in order to avoid being set toward Quoys Ness and into Gills Bay.

Directions—Low-Powered Vessels.—The following directions are given for low-powered vessels that may experience some difficulty in navigating the firth. A pilot should be employed by those low-powered vessels that are not familiar with the navigation of the firth.

The term, low-powered vessels, applies to vessels capable of a speed of no more than 10 knots.

Vessels approaching from W with the E current, when within 1½ miles of Stroma, and intending to pass through Inner Sound, should keep Duncansby Head bearing less than 110° and open S of Meil Head, to avoid getting out of the fair current. No special directions are necessary until well up to St. John's Point, when Inner Sound should be used if at the early part of the current, and Outer Sound if at the latter part. Vessels must take care in the latter case to avoid the eddy on the E side of Stroma, and to keep in mid-channel between Duncansby Head

and the Pentland Skerries so as to retain the last of the E current.

Outer Sound is always to be preferred by large vessels because of its width and the rate of the fair current, but not of course with an adverse current.

Vessels approaching from W during the W current, if the sea is not too heavy, should approach Dunnet Head to a distance of about ½ mile, and then steer directly for the center of Stroma, under which there will be less sea and current. Vessels that cannot stem the adverse current should keep near the E side of Dunnet Head, haul into Brough Bay, and keep within ½ mile of the coast thence to St. John's Point. When thus far, if the current continues strong, they should stand right across the race named the Merry Men of Mey into the eddy W of Stroma. Thence, from close under Meil Head, they should steer across into Gills Bay, and along the coast, within ½ mile of it, until Duncansby Head has been rounded. Alternately they may keep to the N side of the channel, for on either side of Inner Sound slack water and possibly a fair eddy current will be experienced while the main current in the center of Inner Sound is W.

Vessels approaching from W in thick weather are advised to heave to abreast Strathy Point, and on no account should attempt to pass through the firth.

Vessels approaching from W, at night, if Holborn Head has been identified before dark, are advised to anchor in Scrabster Road and await the E current. With normal visibility and a fair current the directions given for full-powered vessels will apply.

Vessels approaching from SE, during the easterly current, should keep close to the coast northward of Freswick Bay, the N entrance point of which is located about 3 miles S of Duncansby Head Light, for along this coast to Duncansby Head there are 10 hours of slack water, and there is probably also a N eddy, during part, at least, of this period. By doing this a vessel will be ready to round the head at the turn of the current, whereas by keeping in mid-channel over toward the Pentland Skerries, where the SE current continues for about 1 hour after high water at Dover, the risk is run of being carried SE. In rounding Duncansby Head, care must be taken to avoid the several dangers lying close off it.

48p972

DEFENSE COMMUNICATIONS AGENCY

The attached documents were provided to the Carter-Reagan Transition team by DCA. The memorandum for the Special Assistant to the Secretary of Defense dated 5 December 1980 has the budget figures for FY 1981 and 1982 deleted as this information is considered classified within the meaning of Executive Order 12065 and withheld under the provisions of 5 USC 552(b)(1). DCA further advises that this information will be declassified upon publication of the President's budget, which is expected in February 1981.

The Initial Denial Authority is Mr. John T. Whealen, General Counsel, Defense Communications Agency.



DEFENSE COMMUNICATIONS AGENCY
WASHINGTON, D. C. 20305

18 November 1980

IN REPLY
REFER TO: 600

MEMORANDUM FOR LTC J. BASHMORE
Deputy Executive Assistant, ASD(C3I)

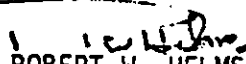
SUBJECT: Request for Information

Reference your phone call with Ms Duda this date. The following documents are enclosed:

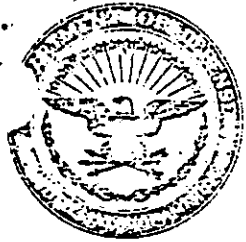
- a. DoDD 5100.41, Executive Agent Responsibilities for the National Communications System, July 23, 1979.
- b. DoDD 5105.19, Defense Communications Agency, August 10, 1978.
- c. Defense Communications Agency Organization Chart.
- d. National Communications System Organization Chart.
- e. Defense Communications Agency Direct Budget Plan (funds for the DoD portion of the NCS are included in the DCA budget).

FOR THE DIRECTOR:

5 Enclosures a/s


ROBERT W. HELMS
Comptroller

Encl 1



Department of Defense Directive ^{ASD(C³I)}

SUBJECT Executive Agent Responsibilities for the National Communications System

- References:**
- (a) DoD Directive 5100.41, "Arrangements for the Discharge of Executive Agent Responsibilities for the National Communications System (NCS)," January 19, 1972 (hereby canceled)
 - (b) DoD Directive 5137.1 "Assistant Secretary of Defense (Communications, Command, Control, and Intelligence)," March 11, 1977
 - (c) Multiaddressee Memorandum from the President, "Establishment of the National Communications System," August 21, 1963 (28 FR 9413)
 - (d) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976

A. REISSUANCE AND PURPOSE

This Directive reissues reference (a) to comply with organizational changes set forth in reference (b).

B. APPLICABILITY

The provisions of this Directive apply to the Office of the Secretary of Defense, the Military Departments, and the Defense Agencies (hereafter referred to as "DoD Components").

C. BACKGROUND

1. By reference (c), the President directed that a National Communications System (NCS) be established and developed by linking together, improving, and extending, on an evolutionary basis, the communications facilities and components of the various Federal agencies. The objective of the NCS is to provide necessary communications for the Federal Government under all conditions ranging from a normal situation to national emergencies and international crises including nuclear attack. The President further directed that the Secretary of Defense serve as Executive Agent for the NCS.

2. This Directive establishes organizational relationships and delegates functions within the Department of Defense for the discharge of the responsibilities assigned to the Secretary of Defense as Executive Agent for the NCS (reference (c)).

D. RESPONSIBILITIES

1. Pursuant to the authority vested in the Secretary of Defense, The Assistant Secretary of Defense C³I by DoD Directive 5137.1 (reference (b)) is designated the principal staff assistant to the Secretary of Defense in his role as Executive Agent, NCS, with responsibilities as set forth in reference (b).

2. The Director, Defense Communications Agency (DCA), shall be the Manager, NCS. Under the staff supervision of the Assistant Secretary of Defense (C³I), the Manager, NCS, shall perform the principal, unified technical planning for the establishment and development of and exercise operational guidance over the NCS. Specifically, the Manager shall:

a. Make reports and furnish recommendations on matters concerning the NCS to the Executive Agent, through the Assistant Secretary of Defense (C³I). Specific reporting requirements, as they are developed and prescribed, shall be processed and approved consistent with the policies and criteria of DoD Directive 5000.19 (reference (d)).

b. Develop and recommend the design and detailed plans for establishing and developing the NCS.

c. Provide participating NCS agencies with technical advice and assistance related to their assigned tasks in the development and operation of the system.

d. Allocate, reallocate, and arrange for restoration of communications facilities to authorized users based on approved requirements and priorities.

e. Develop operational plans and provide operational guidance with respect to all elements of the NCS, including (1) the prescription of standards and practices as to operation, maintenance, and installation; (2) the maintenance of necessary records to ensure effective utilization of the NCS; and (3) the exercise and test of system effectiveness.

f. Submit, to the Executive Agent, through the Assistant Secretary of Defense (C³I), reports and recommendations which have an impact on the Defense Communications System or on other responsibilities of the Secretary of Defense in order that appropriate elements of the Department of Defense may provide their comments and recommendations thereon.

g. Accomplish other assigned NCS tasks.

E. AUTHORITY

To discharge the functions assigned herein the Manager, NCS, subject to the staff supervision of the Assistant Secretary of Defense (C³I) is authorized to:

1. Issue NCS instructions and directive-type memoranda in writing pertaining to the unified technical planning for and operational guidance of the NCS.
2. Employ the DCA staff and field organizations in carrying out NCS responsibilities.
3. Request reports, information, and assistance, including personnel, from the agencies participating in the NCS when necessary.
4. Obtain reports, information, and assistance from all DoD Components when necessary.
5. Establish procedural arrangements for the execution of assigned functions.
6. Communicate directly with all agencies participating in the NCS; with all DoD Components; and, after appropriate clearance, with representatives of other nations.
7. Provide such logistic support for the representatives of the participating agencies who are serving on a full-time basis, as the Manager, NCS, considers appropriate.

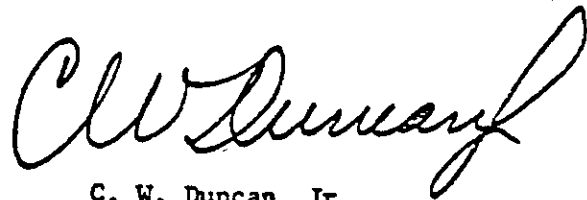
F. RELATIONSHIPS

In the performance of their NCS functions, the designees of the Executive Agent, working through the NCS representatives designated by the participating agencies, shall:

1. Coordinate actions with participating agencies having collateral or related responsibilities for installation, operation, maintenance, and modification of NCS elements or NCS subsystems.
2. Maintain appropriate liaison with participating agencies for the exchange of information and findings.

G. EFFECTIVE DATE

This Directive is effective immediately.



C. W. Duncan, Jr.
Deputy Secretary of Defense



August 10, 1978
NUMBER 5105.19

ASD(C)

Department of Defense Directive

SUBJECT Defense Communications Agency (DCA)

References: (a) DoD Directive 5105.19, "Defense Communications Agency (DCA)," September 18, 1967 (hereby ~~cancelled~~ *October 8, 1974*)
(b) Title 10, United States Code, Section 125
(c) through (g) see enclosure 3

A. REISSUANCE AND PURPOSE

This Directive reissues reference (a) to redefine the mission, responsibilities, authorities, and command relationships of the Defense Communications Agency (DCA) and its Director.

B. GENERAL

Pursuant to the authority vested in the Secretary of Defense and the provisions of reference (b), DCA is established as an agency of the DoD and is placed under the direction, authority, and control of the Assistant Secretary of Defense (Communications, Command, Control and Intelligence)(ASD(C³ I)). Guidance with regard to military and communications doctrine, operational policies and procedures shall be furnished to the Director, DCA, by the JCS.

C. DEFINITIONS

Terms used in this Directive are defined in enclosure 1.

D. MISSION

The mission of the DCA is to:

1. Perform system engineering for the Defense Communications System (DCS) and insure that the DCS is planned, improved, operated, maintained, and managed effectively, efficiently, and economically to meet the long-haul, point-to-point, and

switched network telecommunications requirements of the National Command Authorities (NCA), the DoD, and, as authorized and directed, other governmental agencies.

2. Provide system engineering and technical support to the National Military Command System (NMCS) and the Minimum Essential Emergency Communications Network (MEECN). Provide other engineering and technical support to the Worldwide Military Command and Control System (WWMCCS), as assigned.

3. Perform system architect functions for current and future Military Satellite Communications (MILSATCOM) systems.

4. Provide analytical and automated data processing (ADP) support to the Joint Chiefs of Staff, the Secretary of Defense, and other DoD components, as directed and authorized.

5. Procure leased communications circuits, services, facilities, and equipment for the DoD, where authorized, and for other Government agencies as directed by the Secretary of Defense. Initiate or process actions relating to regulatory and tariff matters, including rates for communications facilities leased by the DoD.

6. Perform those functions and carry out those responsibilities, assigned by such other directives as may be issued by competent authority, that are not explicitly addressed in this Directive or that may be issued to add to, delete, or modify the contents of this Directive.

E. ORGANIZATION

The DCA shall consist of a Director, a headquarters establishment, and such subordinate units, facilities, and activities as established by the Director or specifically assigned to the agency by the Secretary of Defense or by the Joint Chiefs of Staff acting by authority and direction of the Secretary of Defense.

F. RESPONSIBILITIES

1. The Director, DCA, shall:

a. Command, organize, direct, and manage the DCA and its field organizations in accordance with assigned missions.

b. Within assigned authorities, insure systems responsiveness to the requirements of the NCA, the DoD, the Joint Chiefs of Staff, the Commanders of the Unified and Specified Commands, and all other authorized users, to include management of communications support for the national emergency preparedness functions.

c. Function as a principal adviser to the ASD(C³ I) on the DCS and as an adviser to the Secretaries of the Military Departments, the Joint Chiefs of Staff; the Commanders of the Unified and Specified Commands, and other DoD components on assigned mission responsibilities.

d. Execute such tasks for the National Communications System (NCS) as may be assigned and directed by the Secretary of Defense in his capacity as Executive Agent, NCS.

e. Provide appropriate planning documents to the ASD(C³ I), the Deputy Under Secretary of Defense for Policy and the Joint Chiefs of Staff.

f. Develop or recommend, as appropriate, research, development, test, and evaluation (RDT&E) programs or projects required to accomplish the assigned mission. Manage DCA-funded RDT&E programs. Monitor the status of, coordinate, and provide guidance for RDT&E programs, for which DCA is assigned responsibility, that are included in the programs of other DoD components.

g. Develop and promulgate procedures to insure the continuing supervision, review, and approval of acquisition, implementation, and engineering actions necessary to carry out approved plans and assigned missions.

h. Perform financial management functions relating to DCA-funded programs. As requested by the ASD(C³ I), assist in the OSD review of programs and budgets supporting DCA missions. Maintain the Communications Services Industrial Fund.

i. Develop technical standards, in coordination with the Military Departments and all other appropriate DoD Agencies for the DCS and other systems, as assigned and directed.

j. Exercise through the DCA Operations Control Complex operational direction over the DCS either directly, over technical control facilities, switching centers, and other DCS operating elements, or through the appropriate Military Service operation and maintenance manager.

k. Provide communications support to the OJCS and provide direct ADP support for: the Joint Chiefs of Staff and OSD analysis and simulation studies, operation of the command centers of the NMCS, and other appropriate tasks from OSD and the Joint Chiefs of Staff and their designated representatives.

l. Provide computer software programs for the DCS and the NMCS, as required.

m. Establish, in coordination with the Military Departments, equipment levels for DCS switching centers, including the cryptographic equipment that supports the DCS.

n. Allocate, reallocate, and direct restoral of subsystems, trunks, circuits, channels and networks of the DCS for the authorized users of the system, based on approved requirements and in accordance with established priorities and procedures. The restoration of service requiring use of available resources not currently in operation or committed will be coordinated with the Joint Chiefs of Staff or the appropriate operation and maintenance managers of the Military Departments.

o. Perform subsystem/project engineering as specifically assigned within mission responsibilities.

p. Perform the centralized engineering and management function for all nontactical offbase DoD multiplex systems.

q. Coordinate actions with other DoD components and governmental agencies having collateral or related functions in the field of its assigned responsibility.

r. Coordinate communications security requirements other than communications security monitoring policy, which is not within the purview of this Directive, with the National Security Agency, the Military Departments, and the Joint Chiefs of Staff.

s. Maintain active liaison for the exchange of information and advice with all DoD components and other governmental agencies.

t. Make full use of established facilities of the DoD components and other departments of the Government, rather than unnecessarily duplicating such facilities.

u. Establish requirements for and recommend assignment of responsibility for preparation of logistic engineering, and other support plans.

v. Analyze and evaluate the performance of the DCS according to prescribed standards and practices, including the conduct of on-site performance evaluation visits. Inform users and operating elements regarding system status and make recommendations for improvements.

w. Recommend the composition and identity of the DCS to the ASD(C³ I) in coordination with the Joint Chiefs of Staff.

x. Coordinate in the management of resources allocated for the National Military Command System (NMCS) ADP support with supported users.

y. Forward copies of requirements to the ASD(C³ I) and the Deputy Under Secretary of Defense for Policy. The latter official shall confirm and set priorities for such requirements.

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2. The Deputy Under Secretary of Defense for Policy shall provide guidance on matters of communications policy, requirements, and priorities.

3. The Chairman, Joint Chiefs of Staff (for the Joint Chiefs of Staff) under the authority and direction of the Secretary of Defense shall:

a. Provide guidance and, as appropriate, tasking to the Director, DCA, on military and communications doctrine and operational policies and procedures with regard to the development and operation of the Defense Communications System.

b. Review and provide recommendations to the ASD(C³ I) or to the Director, DCA, as appropriate, on DCS plans, subsystem/project plans, ADP support plans, other joint communications plans and related programing documents, and for those functions where DCA is responsive to the Joint Chiefs of Staff, review and provide recommendations on the joint manpower program submitted by DCA.

c. Provide advice to the ASD(C³ I) regarding the mission, functions, and responsibilities of the Director, DCA.

d. Provide guidance and direction on matters pertaining to the planning, design, maintenance, testing and evaluation on systems software for the WWMCCS standard ADP systems.

e. Develop and submit Joint Chiefs of Staff ADP requirements and priorities to the DCA.

f. Provide policy and guidance concerning the utilization and implementation of MILSATCOM systems.

g. Provide guidance concerning the relationships between the Commanders of the Unified and Specified Commands and DCA.

h. Provide operational direction and guidance to the Director, Defense Communications Agency, on matters related to:

(1) Ensuring that adequate and responsive communications support is provided the National Command Authorities, the JCS/OJCS, Unified and Specified Commanders, and the Military Departments, and that interfaces between DCS and tactical communications are maintained.

(2) Providing systems engineering and technical support for the operation of the National Military Command System (NMCS) and the Minimum Essential Emergency Communications Network (MEECN).

(3) Providing analytical and automated data processing (ADP) support to the JCS.

(4) Providing centralized technical support to the JCS, Military Departments, Defense Agencies and Unified and Specified Commands for the WWMCCS standard ADP program.

1. Provide advice to the Deputy Under Secretary of Defense for Policy regarding matters of communications policy, requirements, and priorities.

4. Commanders of Unified and Specified Commands shall:

a. Assess the responsiveness of the DCS to their operational needs. Conduct and participate in exercises and technical tests of the DCS and other communications systems.

b. Develop agreements to delineate clearly the command/operational relationships with the DCA field organization, within the commander's area of responsibility, to insure mutual responsiveness and coordination of effort.

5. The Secretaries of the Military Departments, in support of the DCA mission, shall:

a. Provide, within the limitation of available resources, full support and assistance to the Director, DCA, in accomplishing his mission. The operating elements of the DCS will be responsive to the operational direction of the Director, DCA.

b. Accomplish related functions in support of systems, subsystems, programs, and projects for which DCA is responsible; such as planning, programming, budgeting, funding, providing detailed engineering, procuring, transporting, installing, testing, accepting, manning, activating, deploying, operating, maintaining, training, administering, conducting research and development, and providing logistic support.

c. Obtain DCA concurrence on advance procurement plans and provide to DCA, for review and approval, technical specifications, statements of work, and, prior to execution, proposed contract changes impacting on configuration, cost, performance, or schedules of all systems for which DCA is responsible. Request DCA representation on source selection advisory councils and source selection evaluation boards for such systems, subsystems, and projects.

d. Advise the Director, DCA, of shortages of funds, personnel, facilities, or materials that would prevent effective operation and maintenance of existing systems or prevent or delay scheduled implementation of new subsystems/projects.

e. Submit long-haul, point-to-point telecommunications requirements to DCA for possible satisfaction within the DCS.

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6. Other Defense Agencies within their assigned areas of responsibility shall:

a. Provide, within the limitation of available resources, full support and assistance to the Director, DCA, in accomplishing his mission.

b. Submit their long-haul, point-to-point, telecommunications requirements to the DCA for possible satisfaction within the DCS.

G. AUTHORITY

The Director, DCA, or his designee, is specifically delegated authority to:

1. Command the DCA and its field organizations.
2. Establish DCA headquarters and field organizations and, within overall authorized manpower, allocate military and civilian spaces among such organizations in accordance with the policy of the Office of the Secretary of Defense.
3. Have free and unrestricted communications with all elements of DoD, as well as with other organizations having national command, control, and communications responsibilities.
4. Exercise management control and operational direction of the DCS and redelegate such authority over DCS facilities and resources, as appropriate.
5. Establish the single control and reporting system for operational direction of the DCS and designate those DCS stations which shall function as reporting/reported-on stations within the system. DCA will coordinate information to be reported with the Military Departments to insure their requirements for DCS information are satisfied. Specific reporting requirements, as they are developed and prescribed, will be processed and approved consistent with the policies and criteria of DoD Directive 5000.19 (reference (c)).
6. Exercise subsystem/project management or management control over the activities of the Military Departments, the Unified and Specified Commands, and all of the other DoD Agencies in those areas of endeavor that directly support the establishment and progressive improvement of the DCS and provide technical support of the NMCS.
7. Prescribe, in coordination with appropriate DoD components, procedures, principles, standards, and practices to accomplish the assigned mission.

8. Prescribe interface parameters and standards, monitor the installation status of new facilities, specify data and reports required for system traffic engineering and traffic management, and provide DCS traffic management service with respect to subscriber terminal facilities accessing the DCS and as required to protect network integrity or to serve better the user's needs. In those cases where resource implications prevail, exercise of this authority requires mutual agreement with the Military Department or Defense Agency concerned, and the Assistant Secretary of Defense (Comptroller) when in excess of Military Department or Defense Agency resource authority or availability.

9. Obtain, in coordination with the appropriate DoD components, such plans, reports, and information as are required to accomplish the DCA mission.

10. Exercise the administrative authorities contained in enclosure 2 of this Directive.

H. ADMINISTRATION

* 1. The Director and Vice Director, DCA, will be commissioned officers *
* of suitable general or flag rank appointed by the Secretary of Defense from *
* officers of the Armed Forces on active duty. The Deputy Director, DCA, *
Military Satellite Communications System, will be appointed in accordance
with DoD Directive 5105.44 (reference (d)).

2. The appointment of other personnel to the DCA will be subject to the approval of the Director, DCA.

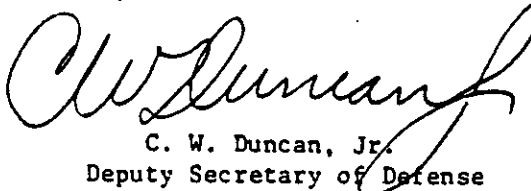
3. The DCA will be authorized such personnel, facilities, funds, and other administrative support as deemed necessary by the Secretary of Defense.

4. The Military Departments and other DoD components shall, within available resources, provide support as necessary to the DCA.

5. Personnel, facilities, equipment, and other support required to maintain and operate specific elements of the DCS and other national communications facilities as assigned, for which a Military Department or any other DoD component has been assigned responsibility, shall be provided from resources available to the Military Department or DoD components.

I. EFFECTIVE DATE

This Directive is effective immediately.


C. W. Duncan, Jr.
Deputy Secretary of Defense

Enclosures - 3

1. Definitions
2. Delegation of Authority
3. References

DEFINITIONS

1. Defense Communications System (DCS)

a. The DCS is a composite of DoD owned and leased telecommunications subsystems and networks comprised of facilities, personnel, and material under the management control and operational direction of the DCA. It provides the long-haul, point-to-point, and switched network telecommunications needed to satisfy the requirements of DoD and certain other Government agencies.

b. The DCS includes fixed, transportable, and mobile facilities as appropriate. It consists of:

(1) Switching/relay facilities, to include associated software, of the general purpose (common user) networks such as AUTOVON, AUTODIN, and Automatic Secure Voice Communications (AUTOSEVOCOM).

(2) Transmission media/circuits, which provide user/subscriber connection into or interconnect the switching/relay facilities of the DCS general purpose (common user) networks, or which interconnect the switching/relay facilities and/or the user/subscriber terminals in special purpose and operational (dedicated) networks which are authorized use of the DCS.

(3) The assets of the Defense Satellite Communications System, except any portions which are specifically excluded from the DCS.

c. The DCS does not include:

(1) The mobile/transportable communications facilities organic to Army forces, Air Force forces, fleets, and Fleet Marine forces.

(2) Ship/ship, ship/shore/ship, air/air, ground/air/ground, and other tactical telecommunications as defined in DoD Directive 4630.5 (reference (e)).

(3) Post, camp, base, and station user/subscriber facilities.

(4) The on-site telecommunications facilities associated with or integral to weapon systems and to missile launch complexes.

d. The above definition of the DCS is amplified as follows:

(1) Generally, the interface point of post, camp, base, or station (fixed or mobile) facilities (non-DCS) with the DCS is established at the main distribution frame of the user/customer facility. In specific cases, if required, the interface point may be any other point agreed to between the DCA and the Services or as prescribed by the ASD(C³ I) or the Joint Chiefs of Staff.

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(2) Telecommunications for weapon destruct at missile and air defense launch and firing complexes and for command, countdown, control, and range safety are non-DCS, unless specifically included; however, the establishment of standards for interface with the DCS is a DCA responsibility.

(3) Consoles and display devices integral to Unified and Specified Commands, their Component headquarters, and the Military Services' operations centers are non-DCS. The communications interfaces with these facilities, when operated with DCS communications, must be operationally and technically compatible with the DCS. Prescribing such interface standards is a DCA responsibility.

(4) The DCS includes those telecommunications required to interconnect the National Command Authorities (NCA), the Joint Chiefs of Staff, and Commanders of Unified and Specified Commands with the general purpose networks.

2. Operating Elements of the DCS. Organizations and units of DoD Components that operate and maintain DCS facilities.

3. DCA Field Organizations. Those elements of the DCA that are under the command of the Director, DCA, but are organizationally separate from the DCA headquarters.

4. Worldwide Military Command and Control System (WWMCCS). As defined in DoD Directive 5100.30 (reference (f)).

5. National Military Command System (NMCS). As defined in DoD Directive 5100.30 (reference (f)).

6. NMCS Technical Support. The engineering and ADP support efforts requisite to insure that NMCS functional requirements and performance objectives are met. Also see DoD Directive S-5100.44 (reference (h)).

7. Military Satellite Communications (MILSATCOM) Systems. As defined in DoD Directive 5105.44 (reference (d)).

8. The Minimum Essential Emergency Communications Network (MEECN). For purposes of this Directive, MEECN is defined as a composite of designated WWMCCS communications assets that, netted together, provide assurance that decisions of the NCA can be delivered from the NCA to US Forces during all periods of stress.

9. MEECN Technical Support. The engineering and support effort requisite to insure that the functional requirements and performance objectives of the Joint Chiefs of Staff are met. It includes system analysis, development and supervision of technical plans and tests, technical interface recommendations, and recommendations for development efforts to meet system objectives as assigned.

10. Operational Direction. The authoritative direction necessary to insure effective operation of the DCS. It includes authority to: direct the operating elements of the DCS, assign tasks to those elements, and supervise the execution of those tasks; allocate and reallocate DCS facilities to accomplish the DCA mission; develop technical standards, practices, methods, and procedures for the performance and operation of the DCA.
11. Management Control. The review, evaluation, coordination, and guidance of management actions necessary to fulfill the responsibilities outlined in this Directive.
12. Subsystem. A functional component of a system which provides a specific capability.
13. Project. An undertaking to analyze, plan, improve, modify, expand, or otherwise change a portion of a system. A project may pertain to elements of a subsystem, an entire subsystem, or a number of related subsystems or elements thereof.
14. Subsystem/Project Management. The continuing review, guidance, and approval, as appropriate, of actions taken in the development, processing, and implementation of approved subsystems/projects.
15. The DCS Plan. A master plan for the evolutionary development and improvement of the DCS in fulfilling communications requirements of the DoD and other Government agencies as authorized and directed. The DCS Plan will cover the period from the budget year to 10 years in the future and will be in consonance with the Joint Strategic Planning System.
16. Subsystem/Project Plan (S/PP). A plan which supports the processing of major telecommunications requirements. Normally it provides justification for the acquisition of a new subsystem, or modification of an existing subsystem, portions thereof, or a combination of related subsystems.
17. Management Engineering Plan (MEP). The control document to effect program implementation by all participating organizations. It is a compilation of documents which places in context the plans, schedules, costs, and scope of all work and resources to be provided by each participating organization. It identifies or specifies subsystem configuration, performance, and interface requirements; technical and operational standards and specifications; type of equipment to be used; work statements required; logistic support planning, integrated testing, and training; management approach to implementation; assignment of responsibility for conduct of all effort; a schedule for task accomplishment; and progress reports required.

Aug 10, 78
5105.19 (Encl 1)

18. Implementation/Installation Plan (I/IP). The document which provides such detail as is necessary to serve as a guide for the implementation phase. It specifies the efforts required by participating organizations, establishes detailed schedules, and includes or identifies, as appropriate, supporting plans and documents containing technical and performance specifications, detailed work statements, applicable standards, advanced procurement plans, logistics, training, installation and test plans, and supporting facility requirements. The I/IP responds to and supports the MEP.

19. Systems Engineering. The application of recognized engineering skills, techniques, and principles to the development of system concepts, associated technical design, and performance criteria used in planning, engineering, and implementing a system.

20. Subsystem/Project Engineering. That initial engineering necessary to support the development of the S/PP and similar plans and, subsequent to S/PP approval, the additional engineering refinements needed to define explicitly subsystem configuration, performance, reliability, maintainability, and other values or thresholds applicable to each subsystem component. This additional engineering, which may be included either in the MEP or issued separately, prescribes specific technical guidance for preparation of equipment specifications, control specifications, and other engineering detail to be included in the I/IP.

21. Detailed Engineering. That engineering necessary to prepare complete equipment and software technical design or performance specifications which provide a basis for procurement, design/development, and test and acceptance. It also includes that engineering performed to accomplish site surveys and to install and check out subsystem elements or components.

Aug 10, 78
5105.19 (Encl 2)

DELEGATION OF AUTHORITY

Pursuant to the authority vested in the Secretary of Defense, the Director, Defense Communications Agency (DCA), or, in the absence of the Director, the person acting for him is hereby delegated, subject to the direction, authority, and control of the Secretary of Defense and in accordance with Department of Defense (DoD) policies, directives, and instructions and pertinent Office of the Secretary of Defense regulations, authority as required in the administration and operation of DCA to:

1. Exercise the powers vested in the Secretary of Defense by Sections 301, 302(b), and 3101 pertaining to the employment, direction and general administration of DCA civilian personnel.
2. Fix rates of pay for Wage Board employees exempted from the Classification Act by Section 5102(c)(7) of Title 5 of the U.S.C. on the basis of rates established under the Coordinated Federal Wage System. DCA, in fixing such rates, shall follow the wage schedules established by the DoD Wage Fixing Authority.
3. Establish such advisory committees and employ such part-time advisers as approved by the Secretary of Defense for the performance of DCA functions pursuant to the provisions of 10 U.S.C. 173, 5 U.S.C. 3109(b), the Federal Advisory Committee Act (Public Law No. 92-463, October 6, 1972), and the agreement between the DoD and the Civil Service Commission on employment of experts and consultants, dated July 22, 1959.
4. Administer oaths of office incident to entrance into the executive branch of the Federal Government or any other oath required by law in connection with employment therein, in accordance with the provisions of the Act of June 26, 1943, as amended (5 U.S.C. 2903(b)) and designate in writing, as may be necessary, officers and employees of DCA to perform this function.
5. Establish a DCA Incentive Awards Board and pay cash awards to and incur necessary expenses for the honorary recognition of civilian employees of the Government whose suggestions, inventions, superior accomplishments, or other personal efforts, including special acts or services, benefit or affect DCA or its subordinate activities in accordance with DoD Directive 5120.15, dated December 3, 1965. (Act of September 1, 1954, as amended (5 U.S.C. 4503) and Civil Service regulations.)
6. In accordance with the provisions of the Act of August 26, 1950, as amended, (5 U.S.C. 7532); Executive Order 10450, dated April 27, 1953, as amended; and DoD Directive 5210.7, dated September 2, 1966 (as revised):

- a. Designate any position in DCA as a "sensitive" position.
- b. Authorize, in case of emergency, the appointment of a person to a sensitive position in the agency for a limited period of time for whom a full field investigation or other appropriate investigation, including the National Agency Check, has not been completed.
- c. Authorize the suspension, but not terminate the services, of an employee in the interest of national security in positions within DCA.

7. Clear DCA personnel and such other individuals as may be appropriate for access to classified material and information in accordance with the provisions of DoD Directive 5210.8, dated February 15, 1962 (as revised), "Policy on Investigation and Clearance of DoD Personnel for Access to Classified Defense Information," and of Executive Order 11652, dated March 8, 1972, as implemented by National Security Council Directive, dated May 17, 1972, and the provisions of DoD Directive 5200.1-R, "Information Security Program Regulation," dated November 15, 1973.

8. Act as agent for the collection and payment of employment taxes imposed by Chapter 21 of the Internal Revenue Code of 1954, and, as such agent, make all determinations and certifications required or provided for under Section 3122 of the Internal Revenue Code of 1954 (26 U.S.C. 3122) and Section 205(p)(1) and (2) of the Social Security Act, as amended (42 U.S.C. 405(p)(1) and (2)), with respect to DCA employees.

9. Authorize and approve overtime work for DCA civilian officers and employees in accordance with the provisions of Section 550.111 of the Civil Service regulations.

10. Authorize and approve:

- a. Travel for DCA civilian officers and employees in accordance with Joint Travel Regulations, Volume 2, Department of Defense Civilian Personnel, dated July 1, 1965, as amended.

- b. Temporary duty travel only for military personnel assigned or detailed to DCA in accordance with Joint Travel Regulations, Volume I, for Members of the Uniformed Services, dated November 1969, as amended.

- c. Invitational travel to persons serving without compensation whose consultative, advisory, or other highly specialized technical services are required in a capacity that is directly related to or in connection with DCA activities, pursuant to the provisions of Section 5 of the Administrative Expenses Act of 1946, as amended (5 U.S.C. 5703).

Aug 10, 78
5105.19 (Encl 2)

11. Approve the expenditure of funds available for travel by military personnel assigned or detailed to DCA for expenses incident to attendance at meetings of technical scientific, professional, or other similar organizations in such instances where the approval of the Secretary of Defense or a designee is required by law (37 U.S.C. 412). This authority cannot be redelegated.
12. Develop, establish, and maintain an active and continuing Records Management Program, pursuant to the provisions of Section 506(b) of the Federal Records Act of 1950 (44 U.S.C. 3102), the Freedom of Information Act (5 U.S.C. 552), and the Privacy Act (5 U.S.C. 552(a)).
13. Establish and use Imprest Funds for making small purchases of material and services other than personal for the DCA when it is determined more advantageous and consistent with the best interests of the Government, in accordance with the provisions of DoD Instruction 5100.71, dated March 5, 1973, and the Joint Regulation of the General Services Administration - Treasury Department - General Accounting Office, entitled "For Small Purchases Utilizing Imprest Funds."
14. Authorize the publication of advertisements, notices, or proposals in newspapers, magazines, or other public periodicals, as required, for the effective administration and operation of the DCA (44 U.S.C. 3702).
15. Establish and maintain appropriate Property Accounts for the DCA. Appoint Boards of Survey, approve reports of survey, relieve personal liability, and drop accountability for the DCA property contained in the authorized Property Accounts that has been lost, damaged, stolen, destroyed, or otherwise rendered unserviceable, in accordance with applicable laws and regulations.
16. Promulgate the necessary security regulations for the protection of property and places under the jurisdiction of the Director, DCA, pursuant to subsections III.A. and V.B. of DoD Directive 5200.8, dated August 20, 1954 (as revised).
17. Establish and maintain, for the functions assigned, an appropriate publications system for the promulgation of regulations, instructions, and reference documents, and changes thereto, pursuant to the policies and procedures prescribed in DoD Directive 5025.1, dated November 18, 1977.
18. Enter into support and service agreements with the Military Departments, other DoD agencies, or other Government agencies, as required, for the effective performance of responsibilities and functions assigned to the DCA.

Aug 10, 78
5105.19 (Encl 2)

19. Exercise the authority delegated to the Secretary of Defense by the Administrator of the General Services Administration with respect to the disposal of surplus personal property.

20. Enter into and administer contracts, directly or through a Military Department or other Government department or agency, as appropriate, for supplies, equipment, and services required to accomplish the mission of the DCA. To the extent that any law or Executive Order specifically limits the exercise of such authority to persons at the Secretarial level of a Military Department, such authority will be exercised by the appropriate Under Secretary or Assistant Secretary of Defense.

21. Enter into contracts for leasing communications facilities for periods not to exceed 10 years as prescribed in DoD Directive 5100.32, dated September 6, 1974.

The Director, DCA, may redelegate these authorities, as appropriate, and in writing, except as otherwise specifically indicated above or as otherwise provided by law or regulation.

This delegation of authority is effective immediately.

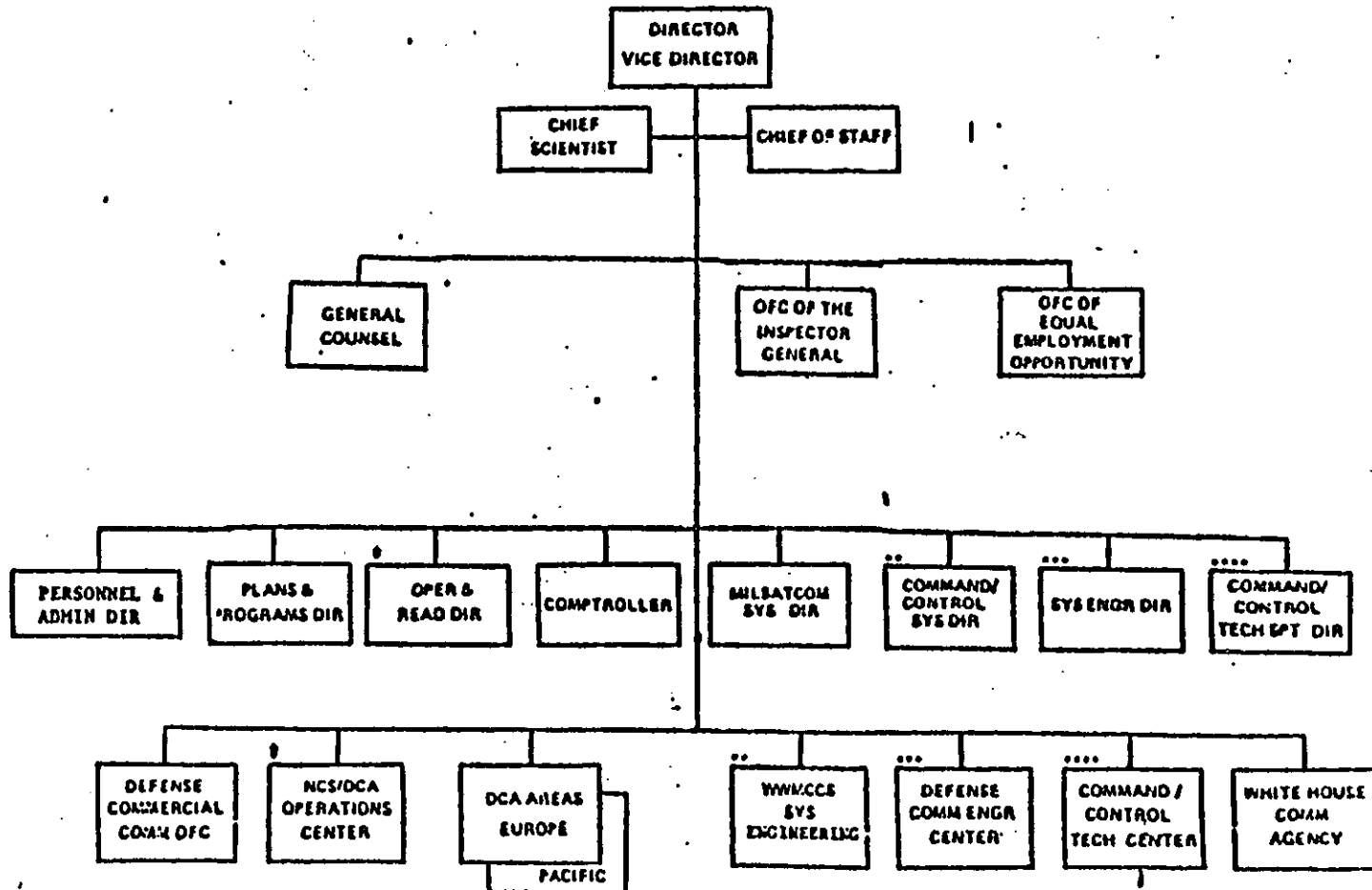
Aug 10, 1978
5105.19 (Encl 3)

References Continued

- (c) DoD Directive 5000.19, "Policies for the Management and Control of DoD Information Requirements," March 12, 1976
- (d) DoD Directive 5105.44, "Military Satellite Communications (MILSATCOM) Systems Organization," October 9, 1973
- (e) DoD Directive 4630.5, "Compatibility and Commonality of Equipment for Tactical Command and Control, and Communications," January 28, 1967
- (f) DoD Directive 5100.30, "World-Wide Military Command and Control System (WWMCCS)," December 2, 1971
- (g) DoD Directive S-5100.44, "Master Plan for the National Military Command System" (U), June 9, 1964



DEFENSE COMMUNICATIONS AGENCY

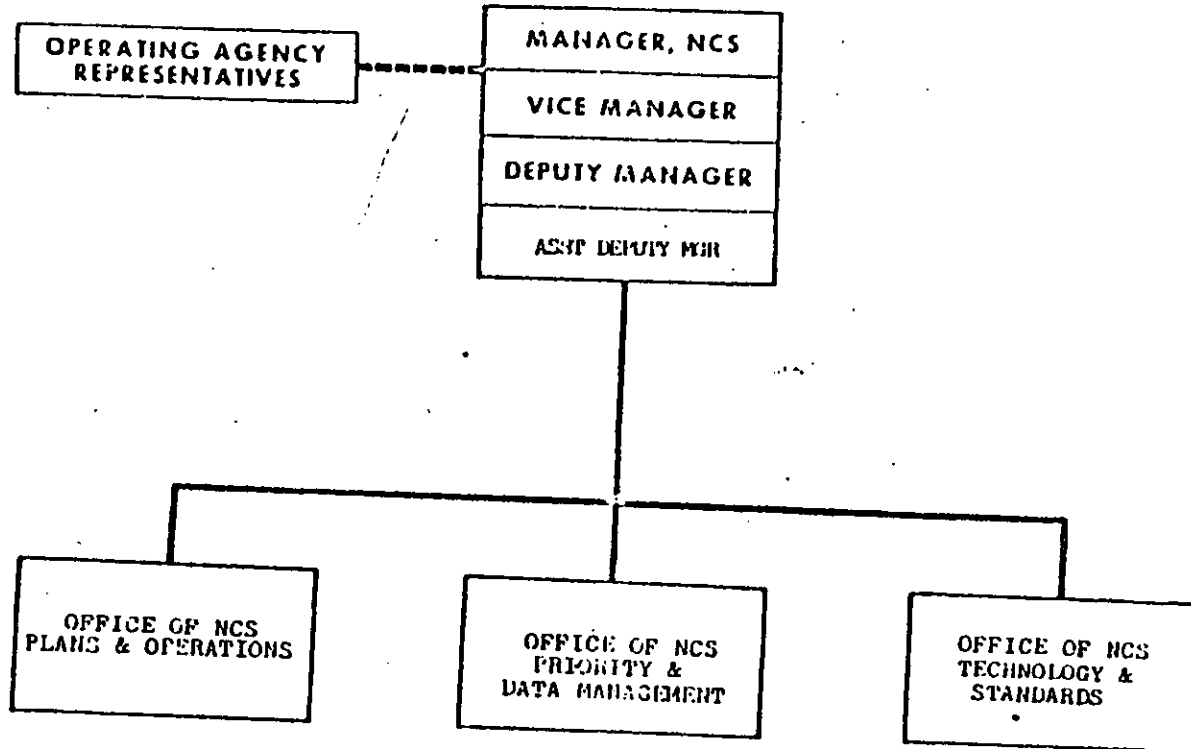


* DEP DIR, OPERATIONS & READINESS/COMMANDER, NCS/DCAOC
 ** DEP DIR, COMMAND & CONTROL SYSTEMS/WWS/CCS SYSTEM ENGINEER

*** DEP DIR, SYSTEM ENGINEERING/DIRECTOR, DC/EC
 **** DEP DIR, COMMAND & CONTROL TECHNICAL SUPPORT/DIR, CCTC



NATIONAL COMMUNICATIONS SYSTEM ORGANIZATION



Encl d

DEFENSE COMMUNICATIONS AGENCY

DIRECT BUDGET PLAN (TOA)

(Thousands of Dollars)

Appropriation Account Title	Direct Budget Plan (TOA)	
	FY 1980 Estimate	FY 1981 Estimate
O&M, Defense Agencies	103,744	125,334
Operations (Total)	(133,918)*	(159,719)
Procurement, Defense Agencies	6,635	7,053
RDT&E, Defense Agencies	46,383	58,254
MILCON, Defense Agencies	-	-
CSIF (RMS Basis)	(1,142)*	(1,249)
Total (Budget Basis)	156,762	190,641
TOTAL (RMS Basis)	(188,078)*	(226,275)

* Includes cost of military resources

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5 December 1980

MEMORANDUM FOR THE SPECIAL ASSISTANT TO THE SECRETARY OF DEFENSE

SUBJECT: Transition Information

The briefing material requested in your November 11, 1980 memorandum is enclosed. Please contact Mr. Goodrum, phone number 692-2877, if there are any questions regarding the material.

FOR THE DIRECTOR:

SIGNED

1 Enclosure a/s

R. M. MARTONE
Deputy Comptroller

Copy To:
Under Secretary of Defense, Research and Engineering
Assistant Secretary of Defense, Communications, Command,
Control and Intelligence

UNCLASSIFIED WHEN
ATTACHMENTS ARE DETACHED

Encl 2

DEFENSE COMMUNICATIONS AGENCY

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UPON REMOVAL OF ATTACHMENTS THIS
DOCUMENT BECOMES UNCLASSIFIED

DEFENSE COMMUNICATIONS AGENCY

I. Introduction

The Defense Communications Agency (DCA) is an agency of the Department of Defense under the direction, authority and control of the Assistant Secretary of Defense (Communications, Command, Control and Intelligence) (ASD(C³I)). The Military Departments support DCA in the accomplishment of its mission by performing tasks in support of approved plans and programs, operating communications facilities, and advising DCA on problems and requirements.

RESPONSIBILITIES OF THE DIRECTOR, DCA

The Director of the Defense Communications Agency (DCA) has responsibilities which encompass major DoD communications and command and control functions. These include the Defense Communications System, the World-Wide Military Command and Control System the various Military Satellite Communications Systems and the National Communications System. In addition, the Director of DCA has separate and distinct responsibilities as Manager of the National Communications System and Chairman of the Military Communications-Electronics Board. A description of the functions which he performs in support of these major responsibilities follows.

A. Defense Communications System (DCS)

1. Ensures that the DCS is managed, planned, engineered, established, improved, and operated as a system to effectively and economically meet the long-haul, point-to-point telecommunications requirements of the National Command Authorities, the Department of Defense, and other governmental agencies, as directed.

2. Advises the Secretary of Defense and the Secretaries of the military departments, the Joint Chiefs of Staff, and the commanders of the unified and specified commands on matters concerning the DCS.

B. World-Wide Military Command and Control System (WWMCCS)

1. Serves as Director of the WWMCCS Systems Engineering effort for DoD. In this capacity, he is responsible for the general system engineering necessary to ensure that the National Command Authorities can effectively direct United States forces in any type of conflict.

2. Provides centralized technical support to all DoD elements for the WWMCCS standard ADP systems.

3. Provides for the technical system design, systems engineering, and technical supervision of technical support to the National Military Command System (NMCS), an element of WWMCCS, and to other related systems.

4. Provides analytical and ADP support to OSD, JCS and other DoD components.

C. Military Satellite Communications (MILSATCOM)

Under policy and guidance provided by ASD(C³I) through the JCS, serves as the MILSATCOM system architect for accomplishing system functions applicable to the totality of DoD satellite communications. In executing these functions he defines the system performance criteria for MILSATCOM systems, and in collaboration and coordination with the DoD Components, establishes overall goals for MILSATCOM systems, and prepares long-term system plans containing appropriate alternatives and options to meet system goals.

D. National Communications System (NCS)

Serves as Manager of the NCS. As manager of the NCS, he is responsible for the execution of such tasks as may be assigned and directed by the Secretary of Defense.

E. Leased Communications

Procures leased communications services, facilities and equipment through the Communications Services Industrial Fund (CSIF) for all of DoD and for other governmental agencies as may be designated by the Secretary of Defense; and performs rate and tariff surveillance over such actions.

F. Military Communications-Electronics Board (MCEB)

As Chairman of the MCEB, he coordinates on military communications-electronics matters among DoD components, between DoD and other U.S. Governmental departments and agencies, and between DoD and representatives of foreign nations.

G. White House Communications Agency (WHCA)

The White House Communications Agency is responsible for providing immediate communications support to the President at all times. The Director, DCA is responsible for programing, budgeting, funding and technical support for WHCA. A detailed description of the role of WHCA will be addressed by the Military Assistant to the President.

II. MAJOR SYSTEMS

Defense Communications System (DCS)

The DCS is a single, integrated communications system, composed of both government-owned and leased facilities. DoD communications which provide local service on camps, posts, and stations, or which are tactical systems organic to field commands, or are integral to specified weapon systems are not a part of the DCS. The DCS has 610 communications operations facilities which serve users at approximately three thousand locations worldwide. The primary purpose of the DCS is to provide communications so that the military commanders from the President on down will be able to direct U. S. military forces. Effective command and control (C²) requires more than the ability to transmit an order to "Charge!" Backing up any such capability is a communications system which can be used to order parts, coordinate personnel movements, and arrange by message or phone all the details that make any worldwide organization operate. Therefore, the DCS provides the means to connect command posts, weather networks, intelligence networks, dispersed tactical units, headquarters supply agencies, large automated data processing centers, facsimile machines, and people - all by electronic communications.

World-Wide Military Command and Control System (WWMCCS)

The WWMCCS is the World-Wide Military Command and Control System that provides the means for operational direction and technical administrative support involved in the function of command and control of U.S. military forces. More specifically, the WWMCCS consists of command and control (C²) subsystems which enable the National Command Authority (i.e., the President and the Secretary of Defense), the Joint Chiefs of Staff, and military commanders at appropriate subordinate levels to direct and control the operations of U.S. military forces. The DCS directly supports the Worldwide Military Command and Control System (WWMCCS) ADP program with over 500 dedicated data circuits to the National Military Command Center (NMCC). Alternate NMCC, National Emergency Airborne Command Post (NEACP), Unified and Specific Commands, transportation operating agencies, and the military services.

National Communications System (NCS)

The NCS is a confederation in which certain Federal agencies participate with their assets to provide necessary communications for the Federal Government under all conditions ranging from a normal situation to national emergencies and international crises, including nuclear attack. The primary assets of the NCS include telecommunications networks of the Departments of State, Defense, Interior, Commerce, Energy and the Federal Aviation Administration, the General Services Administration, the Central Intelligence Agency, the National Aeronautics and Space Administration, the Federal Emergency Management Agency, and the International Communication Agency.



DEFENSE COMMUNICATIONS AGENCY

DIRECTOR
VICE DIRECTOR

CHIEF
SCIENTIST

CHIEF OF STAFF

GENERAL
COUNSEL

OFC OF THE
INSPECTOR
GENERAL

OFC OF
EQUAL
EMPLOYMENT
OPPORTUNITY

PERSONNEL &
ADMIN DIR

PLANS &
PROGRAMS DIR

*
OPER &
READ DIR

COMPTROLLER

MILSATCOM
SYS DIR

**
COMMAND/
CONTROL
SYS DIR

SYS ENGR DIR

COMMAND/
CONTROL
TECH SPT DIR

Field

Activities

DEFENSE
COMMERCIAL
COMM OFC

*
NCS/DCA
OPERATIONS
CENTER

DCA AREAS
EUROPE
PACIFIC

**
WWMCCS
SYS
ENGINEERING

DEFENSE
COMM ENGR
CENTER

COMMAND/
CONTROL
TECH CENTER

WHITE HOUSE
COMM
AGENCY

*DEP DIR, OPERATIONS & READINESS/COMMANDER, NCS/DCAOC

**DEP DIR, COMMAND & CONTROL SYSTEMS/WWMCCS SYSTEM ENGINEER

*** DEP DIR, SYSTEM ENGINEERING/DIRECTOR, DCEC

**** DEP DIR, COMMAND & CONTROL TECHNICAL SUPPORT/ DIR, CCTC

III. ORGANIZATION CHART

IV. KEY STAFF MEMBERS

Director

Lieutenant General William J. Hilsman, USA

Vice Director

Major General John H. Jacobsmeyer, Jr., USAF

Chief Scientist/Associate Director, Technology

Dr. Irwin L. Lebow

Deputy Director, Personnel and Administration

Mr. Harlis D. Starnes

Deputy Director, Plans and Programs

Brigadier General Frank H. Baker, USA

Deputy Director, Operations and Readiness

Brigadier General Thomas C. Nelson, USA

Comptroller

Mr. Robert W. Helms

Deputy Director, Military Satellite Communications Systems

Captain Ralph L. Spaulding, USN (Acting)

Deputy Director, Command and Control Technical Support

Brigadier General Donald J. Bowen, USAF

Deputy Director, Command and Control Systems

Mr. David R. Israel

Deputy Director, Systems Engineering

Colonel George R. Whitley, USA

Commander, White House Communications Agency

Brigadier General Josiah Blasingame, Jr.

Deputy Manager, National Communications System

Mr. Joseph Rose

V. DEFENSE COMMUNICATIONS AGENCY
SUMMARY BUDGET ESTIMATES

<u>Appropriation/Account Title</u>	<u>(\$ in Thousands)</u>	
	<u>FY 1981</u>	<u>FY 1982</u>
RDT&E, Defense Agencies		
Procurement, Defense Agencies		
Military Construction, Defense Agencies		
O&M, Defense Agencies		
Total (Budget Basis)		

DEFENSE COMMUNICATIONS SYSTEM

BUDGET ESTIMATES
for FY 1981-1982

The DCS resources summarized below provide for (1) the day-to-day operation of the existing system and (2) support the evolutionary development and implementation of a secure, interoperable Defense Communications System for use in a peace-time to post-attack environment.

		(\$ Millions)	
		<u>FY 1981</u>	<u>FY 1982</u>
<u>ARMY</u>			
Research and Development			
Procurement			
Military Construction			
Operations and Maintenance			
Military Personnel			
	TOTAL		
<u>NAVY</u>			
Research and Development			
Procurement			
Military Construction			
Operations and Maintenance			
Military Personnel			
	TOTAL		
<u>AIR FORCE</u>			
Research and Development			
Procurement			
Military Construction			
Operations and Maintenance			
Military Personnel			
	TOTAL		
<u>DCA</u>			
Research and Development			
Procurement			
Military Construction			
Operations and Maintenance			
Military Personnel			
	TOTAL		

DEFENSE COMMUNICATIONS SYSTEM

BUDGET ESTIMATES (CONTINUED)
for FY 1981-1982

(S Millions)
FY 1981 FY 1982

OTHER DEFENSE AGENCIES

Research and Development
Procurement
Military Construction
Operations and Maintenance
Military Personnel

TOTAL

SUMMARY

Research and Development
Procurement
Military Construction
Operations and Maintenance
Military Personnel

TOTAL

MANPOWER

Military
Civilian

TOTAL

COMMUNICATIONS SERVICES INDUSTRIAL FUND (CSIF)

BUDGET ESTIMATES
for FY 1981-1982

DCA operates the CSIF which acquires leased communications services for dedicated point-to-point requirements and funds the operation of the common-user networks (such as the DoD Automated Voice Network and the Automatic Digital Network) with subsequent recoupment of costs from the military departments through the use of pre-determined and published monthly rates. CSIF funds programmed for FY 1981 and FY 1982 are as follows:

	(\$ Millions)	
	<u>FY 1981</u>	<u>FY 1982</u>
ARMY		
NAVY		
AIR FORCE		
DEFENSE AGENCIES		
NON-DEFENSE AGENCIES		
TOTAL		

WORLDWIDE MILITARY COMMAND AND CONTROL SYSTEM

BUDGET ESTIMATES
for FY 1981-1982

The DCA resources summarized below are also included as a part of the Defense Communications Agency Summary Budget Estimates. These WWMCCS resources provide for systems engineering and technical support to the National Military Command System, technical support for WWMCCS standard ADP systems and analytical support to OSD and JCS. In addition, they provide for the system engineering of the WWMCCS and the management of the central development and acquisition of standard WWMCCS Information System components and the CINC initiatives funding.

DCA

	(\$ Millions)	
	<u>FY 1981</u>	<u>FY 1982</u>
RDT&E		
PROC		
MILCON		
O&M		
MILPERS		
TOTAL		

In its role as WWMCCS System Engineer, DCA reviews the programs and budgets of the military departments and others, as they pertain to WWMCCS, and provides recommendations to OSD on these programs and budgets.

Those portions of the military department budgets identified by WWMCCS program elements are summarized below:

ARMY

	(\$ Millions)	
	<u>FY 1981</u>	<u>FY 1982</u>
RDT&E		
PROC		
MILCON		
O&M		
MILPERS		
TOTAL		

BUDGET ESTIMATES (CONTINUED)
for FY 1981-1982

NAVY

	(\$ Millions)	
	<u>FY 1981</u>	<u>FY 1982</u>
RDT&E		
PROC		
MILCON		
O&M		
MILPERS		
TOTAL		

AIR FORCE

	(\$ Millions)	
	<u>FY 1981</u>	<u>FY 1982</u>
RDT&E		
PROC		
MILCON		
O&M		
MILPERS		
TOTAL		

WWMCCS budgets of the JCS, USMC, DNA and others are not included by individual breakout, but they are included in the following WWMCCS total:

WWMCCS TOTAL

	(\$ Millions)	
	<u>FY 1981</u>	<u>FY 1982</u>
RDT&E		
PROC		
MILCON		
O&M		
MILPERS		
TOTAL		

WWMCCS MANPOWER (END STRENGTH IN UNITS)

MILITARY	
CIVILLIAN	
TOTAL	

VI. MANPOWER AUTHORIZATIONS

	<u>Officers</u>	<u>Enlisted</u>	<u>Total Military</u>	<u>Civilian</u>	<u>Total</u>
HQ, DCA	130	21	151	387	538
Field Activities	364	1009	1373	1261	2634
TOTAL DCA	494	1030	1524	1648	3172

VII. ISSUES

There are no issues which require special attention soon after January 9, 1981.

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17 DEC 1980

MEMORANDUM FOR THE ASSISTANT SECRETARY OF DEFENSE COMPTROLLER (ADMINISTRATION)

SUBJECT: Transition Information

Reference: (a) ASDC(A) Memo, Request for Information, 25 Nov 80

Information requested pertaining to personnel is forwarded in enclosure 1; information pertaining to budget, program and general information is in enclosure 2. Questions on this input may be referred to Mr. Goodrum, phone number 692-2877.

FOR THE DIRECTOR:

Signed

2 Enclosures a/s

R. W. HELMS
Comptroller

Copy To:
ASD(C³I)

Encl 3

Personnel Information

Question #4 1. Name and title of anticipated SES hire:

David Signori
Deputy WWMCCS System Engineer (System Definition and Analysis)

Question #5 2. Hq DCA has hired the following individual consultants on the dates indicated:

Kenneth L. Jordan - 5 November 1980
Cecil J. Waylon - 24 November 1980

- a. These individuals provide advice and consultation to the Deputy Director, Military Satellite Communications System Office, in connection with the development of a goal architecture for the next generation satellite communications system.
- b. These individuals will be supervised by Dr. Irwin Lebow, DCA Chief Scientist and Associate Director.

Question #6 3. Hq DCA does not anticipate contracting with any firm for consulting services, as defined in OMB Circular A-120, between 1 November 1980 and 21 January 1981.

Question #7 4. a. Hq DCA manpower end strength authorizations for FY 77-81 are as follows:

<u>FY</u>	<u>Military</u>	<u>Civilian</u>	<u>Total</u>
77	138	391	529
78	149	378	527
79	150	383	533
80	149	383	532
81	152	380	532

4. b. On 30 November 1980 there were 10 military and 37 civilian vacant positions in Hq DCA.

Budget, Program and General Information

Question #3 1. The DCA internal operating budgets for FY 80 and 81 are as follows. (Note: FY 81 budget is still subject to change.)

<u>Appropriation</u>	(\$ in Thousands)	
	<u>FY 80</u>	<u>FY 81</u>
RDT&E	46,383	58,254
Procurement	6,635	7,053
Military Construction	0	0
Operations & Maintenance	<u>103,744</u>	<u>125,334</u>
Total	<u>156,762</u>	<u>190,641</u>

Question #5 2. DCA will not publish any regulatory type actions or amendments during the period 1 November 1980 - 21 January 1981.

Question #8 3. DCA will not issue any draft or final environmental impact statements during the period 1 November 1980 - 21 January 1981.

Question #9 4. A list of DCA reports which are provided to organizations outside DoD is attached as Tab A.

<u>REPORT TITLE</u>	<u>AUTHORITY</u>	<u>DUE DATE</u>
Continuation of Pay for Disabling, Job-Related Traumatic Injuries Sustained by Federal Employees (0063-DOL-QU)	20 CFR 10.206	NLT 30 calendar days after end of calendar quarters
Report of DoD Civilians Employed by OSD and the Defense Agencies (0144-DOL-QU)	DoDI 7730.29	NLT 30 calendar days after end of calendar quarters
Interagency Reporting Requirements for Occupational Injuries, Illnesses and Accidents (1146-DOL-XX)	DoDD 1000.3, E.O. 11807, 29 CFR 1960.6/7/8	NLT 60 calendar days after end of calendar year
Report on Government Employment and Payrolls (DL/DCA(M)1)	DOL Bulletin #31	NLT 10 days after end of each month
Federal Telecommunications Information in Support of Federal Emergency Plan D (0089-DoD-SA)	Annex C-XI to Plan D (Telecommunications)	15 Dec, 15 Jun
Report on Budget Execution - FAA (BUDGET(M)1024-A)	OMB Circular A-34	NLT 10 days after end of each month
Reporting of Federal Outlays by Geographic Location (1167-OMB-AN)	DoDI 7710.3	NLT 45 days after the end of fiscal year
Inventory of Circuits by FAA Regions (0185-DOT-MO)	FAA Order 4441.13	NLT 10 days after end of each month

<u>REPORT TITLE</u>	<u>AUTHORITY</u>	<u>DUE DATE</u>
Annual Summary of Records Holdings (1094-GSA-AN)	FFMR 101-11.102-7	NLT 30 days after the close of each fiscal year
Agency Report of Motor Vehicle Data (1102-GSA-AN)	DoDI 4500.39	Within 60 days of the end of each fiscal year
Quarterly Report of ADP Service Provided to Another Agency or Obtained from a Commercial Service (1106-GSA-QU)	FFMR 101-32.470-1	NLT the 15th of Jan, Apr, Jul, & Oct of each year
Annual Report on Federal Advisory Committees (1121-GSA-AN)	FFMR 101-11.1203	NLT 60 days after the end of each fiscal year
2 Pre-Complaint Counseling Report (1038-EEO-MO)	FPM Ltr 713-19, 30 Jan 73	Within 15 calendar days of close of each calendar month
Report on Discrimination Complaint Processing (1039-EEO-MO)	FPM Ltr 713-19, 30 Jan 73	Within 15 calendar days of close of each calendar month
Report on Federal Employees Occupational Health, Alcoholism and Drug Abuse Problems (0058-OPM-AN)	CSC Bulletin 792-20, 20 Oct 76	By 31 January of each year
Work-Years and Personnel Costs for DoD Civilian Employment (0197-OPM-AN)	DoDI 7720.22	By November 8 of each year

<u>REPORT TITLE</u>	<u>AUTHORITY</u>	<u>DUE DATE</u>
Monthly Report of Federal Civilian Employment (1032-OPM-MO)	DoDI 7730.18, CSC Bul 312-5	NLT the 15th day following the month of the report period
Monthly Payroll Report of Federal Civilian Employment (1033-OPM-MO)	DoDI 7730.18, CSC Bul 291	NLT the 15th day following the month of the report period
Report on Temporary Summer Employment (1035-OPM-MO)	DoDI 7730.18, CSC Bul 308-24	NLT the 15th day following the month of the report period
Annual Report of Training Activities (1056-OPM-AN)	CSC Bul 410-86	NLT 15 Nov for the fiscal year ending on the previous 30 Sep
ω Incentive Awards Program (1059-OPM-AN)	FPM Chap 451, Subchapter 24	NLT 15 Nov for the fiscal year ending on the previous 30 Sep
List of Recognitions and Agreements (1060-OPM-AN)	DoDD 1426.1, CSC Bul 711.33	NLT 15 Nov for the fiscal year ending on the previous 30 Sep

12 ✓

DEFENSE LOGISTICS AGENCY

The attached documents represent all of the issue papers prepared by DLA for the Reagan Transition team. Nothing has been omitted or deleted from the documents.



DEFENSE LOGISTICS AGENCY
HEADQUARTERS
CAMERON STATION
ALEXANDRIA, VIRGINIA 22314

4 DEC 1980

IN REPLY
REFER TO DLA-L

MEMORANDUM FOR THE SPECIAL ASSISTANT TO THE SECRETARY OF DEFENSE

SUBJECT: Transition Coordination

Reference your memorandum of November 11, 1980, subject: Transition Coordination.

Attached at Enclosure 1 is a brief description of the mission and organization of the Defense Logistics Agency as well as some general budget information. At Enclosure 2 are the following fact sheets concerning some of the major issues facing the Agency:

Implementation of the Recommendations of the DoD Task Force to Study Audit, Inspection, and Investigative Components in the Department of Defense

Mobilization Requirements Determination and Sustainability of U.S. Forces

The Realignment of the DLA's Defense Contract Administration Region Headquarters

Realignment of Item Management Assignments

Military Construction Planning Fund Requirements for Fiscal Year 1981

2 Encls

GERALD J. POST
Lieutenant General, USAF
Director

Copy to: ASD(MRA&L)

Defense Logistics Agency

The Defense Logistics Agency (DLA) was established as the Defense Supply Agency in October of 1961.

The Agency employs approximately 48,000 civilian and military personnel at its headquarters (approximately 90) in Alexandria, Virginia, twenty-five primary level field activities and almost 600 other locations (170 overseas) throughout the world.

The Agency is headed by a three-star military officer appointed by the Secretary of Defense and approved by the President. He is the director of an operational military logistics organization responsible for providing responsive, effective and economical worldwide support to the Military Services and other DoD components, Federal civil agencies, foreign governments and others. The Director represents the Agency and the Department of Defense at the highest echelons of government, including relationships with: Congress, the DoD and Military Departments, senior representatives of foreign governments, industry and the public at large.

The Defense Logistics Agency

- . operates a wholesale distribution system for assigned items
- . provides contract administration services in support of the Military Services and other DoD components, NASA, other Federal civil agencies, and foreign governments
- . administers logistics programs, including
 - .. the Federal Catalog System
 - .. the Defense Materiel Utilization Program
 - .. Executive Agent for Materiel Redistribution via the Defense Redistribution Activity
 - .. the DoD Excess, Surplus, and Foreign Excess Personal Property Disposal Program
 - .. the DoD Precious Metals Recovery Program
 - .. the DoD Retail Interservice Support Program
 - .. the DoD Industrial Plant Equipment Program and School Loan Program
 - .. the DoD-wide program for redistribution/reutilization of excess automatic data processing equipment
 - .. monitoring DoD/GSA supply relationships
 - .. the DoD Military Standard Logistics Systems, including the Defense Automatic Addressing System

- .. the Technical Report Services (Data Bank Services)
- .. Program Manager for the Defense Energy Information System
- .. DoD Coordinated Acquisition Program
- .. operating the Military Parts Control Advisory Groups for standardization of parts at the system equipment design stage
- .. assigned logistics operations pertinent to the National Civil Preparedness Program
- .. assigned aspects of the DoD Food Service Management Program
- .. DoD-wide Interchangeable/Substitutable Program
- .. Logistics Data Element Standardization and Management Program
- .. DoD Hazardous Material Data System
- .. Commercial Commodity Acquisition Program
- .. Commercial Item Support Program
- .. providing manpower data support to DoD and other government agencies
- .. operating DoD Automated Placement Programs

The approximately 48,000 personnel authorized to the Defense Logistics Agency are assigned at the Headquarters and:

- . six commodity oriented Supply Centers or inventory control points. Two of which have collocated depots.
 - . five Service Centers
 - . four independent Defense Depots
 - . nine Defense Contract Administration Regions that geographically divide the United States

Of this number, approximately 1,100 are military, from all four Services, with 15 General and Flag Officers.

DLA receives approximately 25 million requisitions per year with almost 20 million of these being filled directly with assets stocked in the DLA distribution system. The Agency administers contracts with a face value of over \$88 billion. Yearly direct obligations include:

- . over \$1 billion in the operation and maintenance appropriations
- . over \$17 million in the Research Development Test and Evaluation Appropriation

- . over \$7 million in the Procurement Defense Agencies Appropriation
- . over \$16 million in the military construction area
- . over \$23 million in the Defense Industrial Fund
- . over \$11 billion in the Defense Stock Fund

SUBJECT: Implementation of the recommendations of the DoD Task Force to study audit, inspection, and investigative components in the Department of Defense.

DISCUSSION: In 1979, statutory positions of Inspectors General were established in a number of civilian agencies to marshal these agencies' resources to combat fraud and waste. In the same law that set up these positions (P.L. 95-452), the Congress, recognizing the existing resources and the unique mission and structure of DoD, required the establishment of a Task Force, independent of DoD, to study the operation of the audit, investigative, and inspection elements in DoD which engage in the prevention and detection of fraud, waste, and abuse.

The Task Force issued a report of its study dated 1 May 1980 and recommended against a statutory, independent position of DoD Inspector General but did urge that an office be set up by DoD to give direction to DoD efforts against fraud and waste. Additionally, the Task Force recommended that the Defense Audit Service and Defense Investigative Service report to this new office. Substantial additional resources were identified as being needed by DIS to carry out its criminal investigative mission. The Task Force recommended against any organizational move for the Inspectors General of the Military Departments and for the Defense Logistics Agency.

DLA, with its large logistics missions and world-wide operations is a major consumer of audit, inspection, and investigative resources. DLA

is served very well with the organizational placement of its own Inspector General and strongly urges that the structure remain intact. DLA recognizes that improvements can be made in the direction of DoD's internal audit and investigative activities.

ACTION REQUIRED:

1. Establish a DoD office to provide general policy guidance for the internal audit and criminal investigative activities of the DoD agencies charged with these functions.

2. Assign the Defense Audit Service and Defense Investigative Service to the supervision of this new office.

3. Substantially augment the criminal investigative capabilities of the Defense Investigative Service. The Task Force recommended that DIS provide greatly increased investigative support to the Defense agencies but noted that it is not adequately staffed to meet even its current requirements.

4. A team set up by the DoD General Counsel and Comptroller and representing DLA, DCAA, DIS, and DAS was established to support OSD efforts to implement the Task Force recommendations. This team should be provided direction to complete its assignment which is in abeyance during the transition.

SUBJECT: MOBILIZATION REQUIREMENTS DETERMINATION AND SUSTAINABILITY
OF U.S. FORCES

DISCUSSION: To successfully carry out our overall strategic concepts for national defense, U.S. combat forces must be able to deploy in a timely manner with sufficient critical and essential items to sustain them until resupply can be effected.

. Mobilization planning is geared to OPLAN execution and establishment of a specific number of days of war reserve stocks that should be maintained either in the theater of operations or in CONUS.

. Requirements determination for repair parts has not received as much attention as other more visible items such as munitions, petroleum products, subsistence; therefore, there is a lack of identification of repair parts that should be pre-stocked.

. Where definitized requirements have been made known, the necessary commitment of funds, resources and facilities has not been totally made; therefore; serious deficiencies occur across the range of known requirements.

Both requirements determination and sustainability of forces with known requirements need more emphasis and support within the DoD, OMB and the Congress. In mobilization and wartime, the factors that determine our capability to sustain combat forces center on the availability of military essential items that can only be met by war reserve stocks. Maintaining substantial quantities of War Reserve materiel, munitions and fuels in our peacetime inventories to support combat forces in war is a costly but essential element of materiel readiness and a prime factor in sustaining U.S. forces once they are deployed.

RECOMMENDATION: Increase emphasis on identification of requirements, by item, to execute OPLAN. Concurrently, sustainability deficiencies need to be reviewed and commitment of resources to stock, modernize or expand facilities, or other actions necessary to have a viable response posture should be made.

SUBJECT: The Realignment of the Defense Logistics Agency's Defense Contract Administration Region Headquarters

DISCUSSION:

- The Agency currently operates nine Region Headquarters located in Atlanta, Boston, Chicago, Cleveland, Dallas, Los Angeles, New York, Philadelphia and St. Louis.

- Responsible for providing contract administration for the Department of Defense on approximately 272,000 contracts.

- March 1979, the Department of Defense announced the realignment of the current nine Regions into five in order to achieve efficiencies and economies in operation.

- Region headquarters at New York and Philadelphia would be closed in FY 1981; Cleveland and Dallas would be closed in FY 82.

- Annual recurring savings estimated at \$14M.

- Intense Congressional resistance to the closures emanated from those localities identified to lose jobs (New York, Philadelphia, Cleveland, Dallas)

- Congressmen Edgar and Dougherty (Pennsylvania)
- Senator Glenn, Congresswoman Oaker (Ohio)
- Congressman Frost (Texas)

- October 1979, the Department of Defense announced a change to the previous closures.

- Chicago Regional Headquarters would close in lieu of Cleveland.

- August 1980, the Department of Defense announced a second change.

- Atlanta Regional Headquarters would close in lieu of Philadelphia..

- September 1980, the Assistant Secretary of Defense for Manpower, Reserve Affairs and Logistics requested the Defense Logistics Agency review the previous decision to close the New York Region in lieu of the Boston Region and to examine the workload and geographic boundaries associated with the East Coast Defense Contract Administration Regions (New York, Boston, Philadelphia and Atlanta).

- A report will be provided to the Assistant Secretary of Defense (Manpower, Reserve Affairs and Logistics) in the Spring of 1981.

- Since the East Coast Regions are best examined as part of the total system, the review has been expanded to include all nine Regions.

•• The Defense Logistics Agency will consider alternative organizational structures, projected increases in defense contracting and computer systems which support the Defense Contract Administration Services Regions' activities.

• Due to the foregoing, the level of Congressional interest has increased.

- Senators Nunn and Talmadge, Congressman McDonald (Georgia)
- Senator Thurmond (South Carolina)
- Senators Tower and Bentsen (Texas)
- Senators Percy and Stevenson, Congressman Annunzio, Hyde and Crane (Illinois)
- Congressman Addabbo (New York)
- Senator Kennedy (Massachusetts)

ACTION REQUIRED:

• Because of Congressional concern generated by the controversy that surrounds base realignments, the new Administration should become familiar with the issue and support the Department of Defense decisions that achieve efficiencies and economies in operation.

SUBJECT: Realignment of Item Management Assignments

DISCUSSION:

- A proposal to transfer the Item Management responsibility for approximately 1.1 million consumable items from the Military Services to the Defense Logistics Agency (DLA) was forwarded to the Deputy Secretary of Defense for decision in June 1980.
- This proposal has the potential to produce an annual savings of \$110 million through the reduction of personnel spaces required by the Services to accomplish the responsibility. DLA would accomplish the responsibilities with some 3,735 fewer personnel spaces than the Military Services.
- The proposal was made in December 1978 by the Deputy Secretary of Defense and forwarded to the Military Services, the Defense Logistics Agency, the Defense Nuclear Agency, and the National Security Agency for their comments and concurrence.
- The Military Services objected to the proposal on several grounds. The Assistant Secretary of Defense for Manpower, Reserve Affairs, and Logistics, directed a review of the proposal by the Defense Audit Service to either validate or reject the Military Services objections.
- The Defense Audit Service review rejected the objections of the Services based on reduced supply support effectiveness if the Defense Logistics Agency became the Item Manager. The Defense Audit Service review did adjust the potential savings downward from \$124 million per year to a savings of \$110 million per year and reduced the projected manpower spaces saved from 4,912 to 3,735.
- To date, no decision has been announced.

ACTION REQUIRED: Because of Congressional concern generated by potential job loss in Congressional districts that result from functional realignments -- and the equal concern regarding the potential operational savings and related impact upon military readiness -- the new Administration should become familiar with the case and make an early decision on this issue.

SUBJECT: Military Construction Planning Fund Requirements for Fiscal Year 1981

DISCUSSION:

Congressional action approved only half of DoD's request of \$14 million in planning and design funds for Defense Agencies. Defense Logistics Agency's (DLA) request for design funds, alone, exceeds this \$7 million approval.

Planning and design funds required for DLA's Fiscal Year 1981 are as follows:

	<u>(\$000)</u>
Complete Design - FY 81-82 Programs	3,650
Initiate Preliminary Design - FY 83 Program	+ 4,350
	<u>\$8,000</u>
Initiate Preliminary Design - FY 84 Program	+ 1,800
	<u>\$9,800</u>
Less Funds On Hand	- 1,500
	<u>\$8,300</u>

Design funds for FY 81 exceed the normal fiscal year cost levels to support increased fuel storage facilities as follows:

	<u>Total Project Cost</u>
FY 83 complete preliminary design (Guam)	\$57 million
FY 84 initiate preliminary design (Alaska)	\$88 million

ACTION REQUIRED:

Appropriate additional military construction design funds.

DEFENSE INVESTIGATIVE SERVICE

The attached documents were provided to the Carter-Reagan Transition team by the DIS. The documents are provided in their entirety.

7 JAN 1981

MEMORANDUM FOR DEPUTY ASSISTANT SECRETARY OF DEFENSE (ADMINISTRATION),
OASD(C)
Attention: Mr. Wilson

SUBJECT: Information for the Transition Team

- REFERENCE: (a) Defense Investigative Service Memorandum,
"Request for Information," dated December 18, 1980.
- (b) FONECON between Mr. Wilson and Mr. Sproul,
January 6, 1981.

Attached is information regarding personnel assigned to the Defense
Investigative Service (DIS) Headquarters as requested in reference b.

BERNARD J. O'DONNELL
Director

Attachment
Personnel Strengths

Jya
LTC Anderson

yes 1/7/81
V0200

[Signature]
V0003

V0000

[Signature]
V0500
1/7/81

FULL-TIME PERMANENT PERSONNEL ON-BOARD DURING LAST FOUR YEARS

<u>DIS Headquarters</u>	<u>End of FY</u>				<u>Vacancies as of 5 Jan 81</u>
	<u>77</u>	<u>78</u>	<u>79</u>	<u>80</u>	
Office of the Director			4	4	0
Office of the Inspector General			4	1	2
Office of Information and Legal Affairs			5	8	1
Investigations Directorate			12	10	2
Management and Resources Directorate			34	40	6
Information Systems Directorate			4	4	0
Personnel and Security Directorate			37	41	4
TOTAL	125*	105*	100	108	15

*Breakout of on-board strength by directorate and special staff not available for FY77 and 78.

MR. SPROUL/cm/31427/31 Dec 80

December 31, 1980

MEMORANDUM FOR THE SPECIAL ASSISTANT TO THE SECRETARY OF DEFENSE

SUBJECT: Transition Coordination


REFERENCE: (a) Special Assistant to the Secretary of Defense Memorandum,
"Transition Coordination," dated November 11, 1980

(b) Telecon Col Klick, December 30, 1980

Briefing materials for the President-elect's defense transition team are provided in accordance with reference. This material is provided in two parts:

1. Talking Paper on actions to reduce the personnel security investigations backlog, Attachment 1.
2. Briefing Book on the organization and functions of the Defense Investigative Service, Attachment 2.

We stand ready to be of further assistance should the requirement arise.


BERNARD J. O'DONNELL
Director

2 Attachments

1. Talking Paper
2. Briefing Book

TALKING PAPER

DISHQ/36613
1 December 1980

SUBJECT: Actions to Reduce Personnel Security Investigations Backlog

1. BACKGROUND:

a. During the last three years, requests for personnel security investigations (PSI) have increased by 19 percent, causing a 145 percent increase in the PSI pending caseload. Coupled with a decrease of 2 percent in the number of authorized personnel, this impact has resulted in an increase of 63 percent in the time required to complete the average case from 70 days to 114 days. The maximum acceptable completion time demanded by requesters is 65 days. This increase in average case completion time would have been greater had it not been for a 9 percent increase in the productivity of DIS agents during the last three year period. We do not anticipate further productivity increases in the future, unless we do it at the expense of quality.

b. The increase in workload is due primarily to an increase in clearance requirements for DoD contractors. The continued development of sophisticated military hardware systems will keep the PSI workload at a high level. If DIS is to provide timely investigative service in the future, it will need continued budgetary support.

2. SUMMARY

a. To reduce the rise in the number of PSI backlog, Deputy Secretary of Defense Claytor approved on 16 October 1980, 304 additional personnel authorizations for DIS in FY 81 in support of the PSI program and granted a waiver of the two-for-one hiring restrictions.

b. Until such time new investigators are hired and trained, the case completion times will continue to increase beyond the present turnaround time peaking sometime in mid-FY81. Based on the budgeted workload, the increase in resources will enable DIS to stop the case backlog escalation and eventually reduce the average PSI completion time within the next five years to approximately 65 days. The achievement of this goal would of course be affected by changes in the budgeted workload. To achieve the goal of a 65 day average completion time sooner than FY 1985, assuming requests for PSIs remain constant, DIS will require additional resources.



DEFENSE INVESTIGATIVE SERVICE
1900 HALF STREET, S.W.
WASHINGTON, D.C. 20324

18 DEC 1980


MEMORANDUM FOR THE DEPUTY ASSISTANT SECRETARY OF DEFENSE
(ADMINISTRATION), OASD (C)

SUBJECT: Request for Information

REFERENCE: (a) Deputy Assistant Secretary of Defense
Memorandum, "Request for Information,"
dated November 25, 1980

In accordance with reference above, the following information, keyed to paragraphs listed in TAB "A," is provided in two parts:

1. Personnel - Attachment 1.
2. Budget, Program, and General Information - Attachment 2.


BERNARD J. O'DONNELL
Director

- 2 Attachments
1. Personnel Info.
 2. Budget, Program and Gen. Info.

PERSONNEL

4. No Senior Executive Service personnel, supergrades, or Schedule C employees have been hired since November 1, 1980. With the possible exception of the Director's position, which is temporarily filled by a reemployed annuitant, DIS has no plans to appoint anyone to one of these three types of positions prior to January 21, 1981.

5. None

6. None

7. The following chart represents the DIS full-time permanent strength on the designated dates:

<u>DATE</u>	<u>CIVILIAN STRENGTH</u>	<u>MILITARY STRENGTH</u>
09/30/76	1148	643
09/30/77	1409	371
09/30/78	1422	197
09/30/79	1490	227
09/30/80	1497	177

As of 12/12/80, the authorizations and assigned strengths are provided as follows:

<u>PROGRAM</u>	<u>ALLOCATED AUTHORIZATIONS</u>		<u>ASSIGNED STRENGTHS</u>		<u>VACANCIES</u>	
	<u>Civ</u>	<u>Mil</u>	<u>Civ</u>	<u>Mil</u>	<u>Civ</u>	<u>Mil</u>
*Industrial Security Program	726	15	545	13	181	2
Investigations	1931	130	1691	148	240	0
TOTAL	<u>2657</u>	<u>145</u>	<u>2236</u>	<u>161</u>	<u>421</u>	<u>2</u>

*This program was transferred to DIS from the Defense Logistics Agency on October 1, 1980.

BUDGET, PROGRAM AND GENERAL INFORMATION

3. Internal operating budget for FY80 (Actual) and FY81 (Estimated) as shown in the FY82 budget submission is as follows (shown in thousands):

<u>Object Class.</u>	<u>FY80</u>	<u>FY81</u>
11.1 Perm. Pos.	29,476	50,336
11.3 Other than Perm.	61	97
11.5 Other Pers. Compens.	242	282
Total Per. Compens.	<u>29,779</u>	<u>50,715</u>
12.1 Personnel Benefits	3,218	6,357
21.1 Travel	564	2,027
22.0 Transportation	191	705
23.1 Fed. Bldg. Fund	1,092	1,699
23.2 Rent, Commo. & Utilities	1,227	1,573
24.0 Printing	83	347
25.4 Contracts	834	1,076
25.6 Other	836	2,315
26.0 Supplies	1,061	1,492
31.0 Equipment	44	248
Total Direct	<u>38,929</u>	<u>68,554</u>
Reimbursement	<u>8</u>	<u>10</u>
Total Obligational Authority	<u>38,937</u>	<u>68,564</u>

5. None

8. None

9. None

9 DEC 1980

MEMORANDUM FOR DEPUTY ASSISTANT SECRETARY OF DEFENSE (ADMINISTRATION),
OASD(C)
Attention: Art Ehlers

SUBJECT: Information for the Transition Team

REFERENCE: (a) Deputy Assistant Secretary of Defense Memorandum,
"Information for the Transition Team," dated
December 4, 1980.

In accordance with reference above, a detailed Defense Investigative Service
(DIS) organizational chart and listing of assigned personnel filling key
positions and their grades are provided as Attachments 1 and 2.

Signed

BERNARD J. O'DONNELL
Director

- 2 Attachments
- 1. Organization Chart
- 2. Personnel Listing

[Handwritten signatures and initials]

LTC Anderson V0200 V0003 V0000

[Handwritten: 12/9]

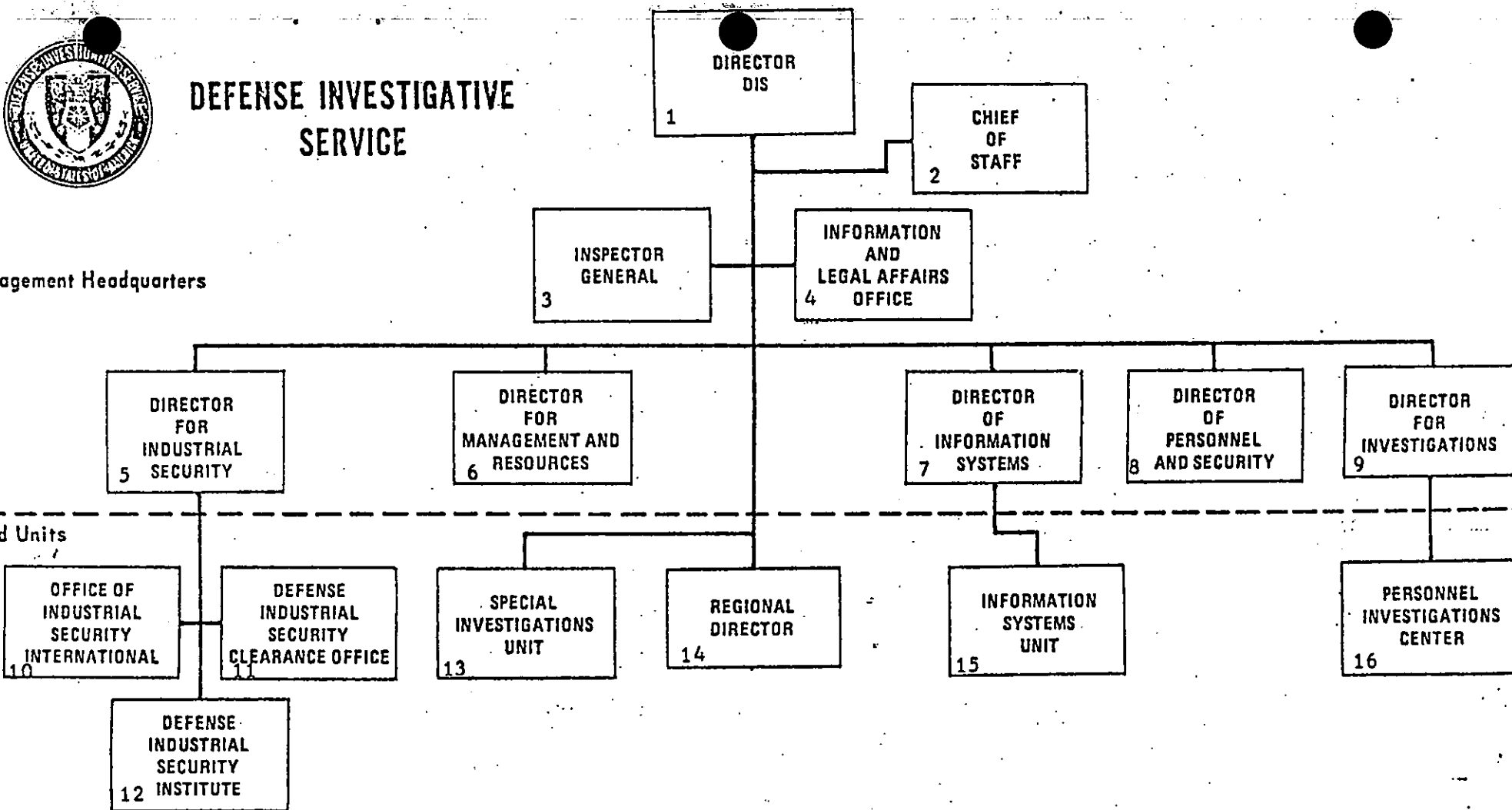
[Handwritten: 12/9]



DEFENSE INVESTIGATIVE SERVICE

Management Headquarters

Field Units



APPROVED:

B. J. Brannell

Director
Defense Investigative Service
November 1956

Senior Civilian and Military Personnel
Assigned to DIS
(Keyed to Organizational Chart)

1. Bernard J. O'Donnell, SES-4
2. John L. Sproul, GS-15
3. Vacant, GS-14
4. Dale L. Hartig, LT Col, USA
5. Frank Larsen, GS-15
6. Dr. Frederick E. Taylor, GS-15
7. Francis R. Cappelletti, GS-15
8. M. Arnold Werner, GS-15
9. Bernard H. Steacy, SES-4
10. Michael Craig, GS-14 (Brussels, Belgium)
11. Jonathan S. Van Horn, Col, USA (Columbus Ohio)
12. Jay M. Russell, Col, USAF (Richmond VA)
13. William G. Dupree, GS-15
14. Ten regional directors:
 - Arthur J. Sullivan, GS-15 (Boston MA)
 - John N. Held, GS-15 (Philadelphia PA)
 - Donald P. Barron, GS-15 (Washington DC)
 - Norman H. Hempel, GS-15 (Norfolk VA)
 - William G. Bell, Jr., GS-15 (Chicago IL)
 - William L. Diven, LT Col USAF (Kansas City MO)
 - Frederick E. Robey, Jr., GS-15 (New Orleans LA)
 - Howard G. Willis, Col, USAF (San Antonio TX)
 - William R. Clayton, GS-15 (San Francisco CA)
 - David L. McDonald, GS-15 (Los Angeles CA)
15. Robert Cameron, GS-14 (Baltimore MD)
16. James V. Richie, GS-15 (Baltimore MD)

DEFENSE INVESTIGATIVE SERVICE

<u>TITLE</u>	<u>SECTION</u>
INTRODUCTION	1
THE ORIGIN OF DIS	2
ORGANIZATIONAL DEVELOPMENT	3
SUMMARY OF HEADQUARTERS FUNCTIONS	4
INVESTIGATIVE POLICY AND PROGRAMS	5
PERSONNEL INVESTIGATIONS CENTER	6
THE DEFENSE INDUSTRIAL SECURITY CLEARANCE OFFICE	7
THE DEFENSE INDUSTRIAL SECURITY INSTITUTE	8
SPECIAL INVESTIGATIONS UNIT	9
DEFENSE INVESTIGATIVE SERVICE'S INITIATIVES IN COMBATING FRAUD, WASTE, AND ABUSE IN DOD AGENCIES	10
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INTRODUCTION

The Defense Investigative Service is a separate agency of DoD under the direction, authority and control of the General Counsel. Its mission is to conduct (1) personnel security investigations, (2) law enforcement investigations for DOD components as authorized by the General Counsel, (3) other investigations and related operations as directed by the General Counsel; and (4) to administer assigned defense industrial security programs on behalf of the Department of Defense and other federal departments and agencies as directed. This information brief contains a synopsis of the origin of DIS, its organizational development, and current status.

THE ORIGIN OF DIS

A Blue Ribbon Defense Panel, in 1970, stated that DoD personnel security investigative work was a non-combatant function in which some consolidation might lead to savings. This observation was based upon the conclusion that the military services were duplicating locations, geographical coverage and communications, as well as overhead, administration and training. The matter was not initially pursued within Defense, but was further studied within the Office of Management and Budget (OMB), resulting in 1971, with an OMB recommendation and approval by the President, the creation of an "Office of Defense Investigation."

On 5 November 1971, a White House press release (Attachment 1) announced the approval by the President of various proposals relating to the reorganization of the national intelligence community. Two major proposals affecting DOD related to consolidation of the defense mapping agencies and the consolidation and restructuring of the cryptologic activities. The third major item resulted in the creation of the Defense Investigative Service (DIS); the press release stated that an "Office of Defense Investigation (ODI)" would be established to consolidate DOD personnel security investigations.

Better management, more efficient use of resources, and qualitative improvements were the reasons advanced for the directed changes.

The role of the new "Office of Defense Investigation" was not specifically detailed in the documentation underlying the press release, and the Secretary of Defense established a study group to determine what that role should be. In the ensuing weeks, several functional alternatives were considered:

Personnel Security Investigations (PSIs) only,
PSIs and Counterintelligence (CI), and
PSIs/CI/and Criminal Investigations.

These alternatives were staffed through the military departments and the Joint Chiefs of Staff, and recommendations were made to the Secretary of Defense.

Finally, on 29 December 1971, the Secretary of Defense issued a memorandum establishing the Defense Investigative Service. The Secretary assigned responsibility for the Defense investigative program, for the staff supervision of DIS, and for program management of its resources to the Assistant Secretary, Comptroller. He, thus, clearly separated the Personnel Security Investigative function from the Intelligence function within DOD.

He prescribed a phased course of action for the planning and activation of the Service and designated existing field resources and certain activities for transfer. In this initial directive, the Secretary also expressed the intention to study the future transfer of additional functions to DIS.

DIS was established by the Secretary on 1 January 1972 to function initially as a planning group.

On 18 April 1972, the Charter was published in the form of DOD Directive 5105.42. This established DIS as a separate operating agency under the direction of the Secretary of Defense. It also prescribed the overall organization, mission, responsibilities, functions and authorities of the new agency.

The most significant features of the Charter were that:

- a. DIS was created essentially to provide personnel security investigative services to DOD.
- b. When DIS disclosed matters of a significant criminal and counter-intelligence nature during the course of a PSI, the case was to be referred to that governmental agency having investigative or disciplinary jurisdiction.
- c. DIS geographical area of responsibility was limited to the 50 states and the Commonwealth of Puerto Rico.
- d. DIS could be called upon for investigative support in any specific area the Secretary of Defense might direct.

The existing National Agency Check Center (NACC), the Defense Central Index of Investigations (DCII), and portions of field elements of the three military Service investigative agencies engaged in PSIs were designated for consolidation. Also to be transferred to the auspices of DIS were those elements of the headquarters and supporting activities of the three Services that were engaged in the supervision, control, and processing of personnel security investigations.

Space for the headquarters, operating centers, and support activities was procured in the Forrestal Building, Washington, DC, and at Fort Holabird, Baltimore, MD, where DIS acquired the former Army Intelligence School Building.

Perhaps the most complex matter involved in the planning was the identification of military service field resources for transfer to DIS. In each military department, the PSI function was integral to a larger functional area performed by a major investigative organization. But in each case the

mission, make up, and total functions of the organization were unique. Furthermore, each of these service investigative agencies enjoyed non-reimbursable base support, the cost of which was not included in the investigative activities' program element. Thus, the transfer of resources could not be accomplished by whole units and activities. Each related organizational structure had to be split in proportion to its various missions, and recombined into DIS elements and residual service elements.

On 1 May 1972, DIS took over case control of some DoD PSIs and operational control of the NACC. On 2 October 1972, DIS became fully operational, forming its field organization from portions of the existing military Service investigative agencies.

In meeting one of the basic goals set at the creation of DIS, the resource consolidations resulted in many net savings to the government. For example, in personnel, the three military departments had programmed some 3,378 spaces for the PSI mission in FY 1973. The initial DIS authorization was for 3,000 or some 378 fewer spaces than originally programmed. As a result of the transfer of the PSI function, the three military departments were able to deactivate some 400 operating locations and 421 subordinate operating elements, while the DIS field organization consisted of only 246 such elements. Also, DIS required 243 fewer vehicles than the Services. Similar net savings were realized in other mission-related material and facilities.

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Organizational Development

The Defense Investigative Service (DIS) consists of a management headquarters, 10 regional offices and several unique entities: The Special Investigations Unit; the Personnel Investigations Center; the Information System Unit; the Defense Industrial Security Clearance Office; the Defense Industrial Security Institute; and the Office of Industrial Security, International.

The headquarters and Special Investigations Unit are located at 1900 Half Street, SW, Washington, DC, while the Personnel Investigations Center and the Information Systems Unit are located nearby at Baltimore, MD. The remaining units are widely separated: The Defense Industrial Security Clearance Office is at Columbus, OH; Defense Industrial Security Institute, Richmond, VA; the Office of Industrial Security, International, Brussels, Belgium; and the 10 regional offices are located at Boston, MA; Philadelphia, PA, Alexandria, VA; Norfolk, VA; New Orleans, LA; Chicago, IL; Kansas City, MO; San Antonio, TX; San Francisco, CA; and Los Angeles, CA. At Attachment 2 and 3 are the current organizational charts. At Attachment 4 is a current map of the DIS field organization and its boundaries.

The headquarters emphasizes a highly centralized organization and reflects the desire to relieve field units of administrative burdens to allow concentration on investigations.

The Special Investigations Unit (SIU) supervises and controls criminal investigations and fraud prevention surveys for all DoD agencies, as

part of its mission to provide the full range of criminal investigation support, and other selected investigative tasks the General Counsel may direct.

The Personnel Investigations Center (PIC) initiates, controls, closes and disseminates all Personnel Security Investigations conducted for the Department of Defense and its components, while retaining the original file in the Investigative Files Repository. Its organizational chart is provided at Attachment 5.

The Information Systems Unit (ISU), located at Baltimore, MD, maintains and operates the agency ADP systems.

The Office of Industrial Security, International, provides advice, guidance and assistance on industrial security matters to contractors and U.S. interests in Europe, the Middle East and Africa.

The Defense Industrial Security Institute develops and presents courses of instruction on industrial security matters to personnel of DoD, other U.S. government personnel and industry in support of the Industrial Security Program, DoD Information Security Program and the program for safeguarding of conventional arms, ammunition and explosives.

The Defense Industrial Security Clearance Office determines the eligibility of industrial personnel for access to classified information. Its organizational chart is provided at Attachment 6.

The regional offices and their subordinate field offices provide guidance and limited administrative and logistical support to their subordinate elements. Each region also has supervisory responsibilities for criminal investigations conducted by their subordinate elements.

Under the direction of the Regional Director of Industrial Security, or the Cognizant Industrial Security Officer, as it is often called, each regional office is responsible for processing and granting facility security clearances; processing owners, officers, directors, and executive personnel of facilities involved in security clearance actions; adjudication of cases involving foreign ownership, control or influence, and taking appropriate action relative to security violations and compromises; acting as catalyst on classification management problems; and maintaining operational statistical data.

Field offices and their assigned resident agencies perform the basic missions of DIS. Elements responsible for personnel security investigations receive cases from the PIC, conduct the investigations under the supervision of a Special Agent-in-Charge, and return completed cases to the PIC where they are reviewed for sufficiency and released to requesters. These field elements also receive criminal investigative leads from the SIU or other field components. In addition, those field elements which are assigned to support a local unit of the Defense Logistics Agency (DLA) may initiate criminal investigations upon receipt of a request from the DLA unit. Criminal investigation reports require approval of the Regional Director of Investigations, who, in turn, forwards them to the SIU and requester as appropriate. The Special Agent-in-Charge of a field office has authority over subordinate resident agencies, and the field office provides centralized clerical support for offices within their jurisdiction.

Industrial security representatives located at the industrial security field offices and resident agencies are the day-to-day contact point between assigned industrial facilities and the Cognizant Industrial Security Office (Regional Director of Industrial Security). They are responsible for conducting facility security clearance surveys; recurrent industrial security inspections; industrial facility protection surveys; inspections of possessors of conventional arms, ammunition, and explosives manufactured for DOD; and administrative inquiries to security violations and/or compromises of classified information. The industrial security representative's primary role is that of an advisor and assistant to industrial facilities in maintaining acceptable standards of information protection, facility protection, personnel protection and safeguarding conventional arms, ammunition and explosives.

The present organizational structure has undergone several major changes since DIS was formed in 1972, the most recent being the takeover of the Defense Industrial Security Program. Some of these changes deserve mention.

DIS was organized with a management headquarters and a Special Investigations Center (responsible for supervising all issue-oriented PSI and criminal cases) in the Forrestal Building; a Personnel Investigations Control Center, National Agency Check Center, and a Support Systems Center at Fort Holabird; and 20 district headquarters with 161 subordinate field offices and 83 subordinate resident agencies in the field.

A series of reorganizations have taken place commencing with the inactivation of six districts in July 1975 prompted mainly by directed manpower reductions. Subsequent recommendations by the Surveys and Investigations staff of the House of Representatives' Appropriations Committee and additional manpower decrements caused the inactivation of four more districts in April 1976. The remaining 10 district headquarters were reorganized as regional field offices with reduced administrative overhead while assuming an operational role.

In January 1976, the separate National Agency Check Center and the Support Systems Center were merged with the Personnel Investigations Center resulting in a reduction in supervisory and managerial positions.

In October 1977, at the direction of OSD, the Special Investigations Center was also merged with the Personnel Investigations Center, and the Special Investigations Unit was established to supervise the conduct of criminal investigations and fraud prevention surveys falling within the purview of DIS.

In regard to the latter, DIS, in its earliest days, was periodically called upon by OSD to conduct criminal or other special investigations of a very complex nature. Personnel of the Special Investigations Center at the Forrestal Building performed these investigations in addition to processing issue-oriented cases. Later, in May 1974 when DIS was designated, along with the military services, to provide criminal investigative support to DLA, management of criminal investigations was included in the duties of one sub-unit of the SIC.

In October 1977, this function was assigned as the sole responsibility of the newly identified Special Investigations Unit.

In November 1979 DIS was directed to provide personal protection for the National Security Advisor to the President. Accordingly, 18 special agents, with six used as "reserves" have been trained, furnished firearms and deputized as US Marshals to perform this duty. The protection extends to the principal when he leaves White House grounds, including travel to foreign countries.

In July 1980, DIS, for the first time in its history, commenced a formal training program to instruct its new agents in a basic Personnel Security Investigations Course, a functional responsibility previously held by the Air Force Office of Special Investigations (AFOSI). The basic training, previously conducted at the Forrestal Building, is now being conducted at the classroom facilities of the Defense Industrial Security Institute, Richmond, VA, a recent DIS acquisition.

Effective 1 October 1980, at the direction of the Deputy Secretary of Defense, administration of the Defense industrial security programs was transferred from the Defense Logistics Agency (DLA) to the DIS. As part of this action, DLA was directed to transfer 648 spaces. Subsequent efforts have resulted in an additional 88 spaces being allocated by OSD for this function. The next effect of this action was to set in motion the process of arresting and eventually reversing the dangerous erosion which these programs had experienced for the past several years as a result of increased workload and reduced resources. Steps have been taken to realign

industrial security cognizance functions under the 10 regions of DIS with program management being handled by a staff at DIS headquarters under a Director for Industrial Security. To avoid turbulence among assigned personnel and assigned contractors, existing Cognizant Security Offices remained in place with the exception of Chicago which was consolidated into the Cleveland Office. Steps have also been taken to reestablish a Cognizant Security Office in San Francisco and to establish a new Cognizant Security Office in Washington, D.C. These latter offices will become operational in early 1981 and the overall success of this effort will be directly contingent upon unrestricted filling of all vacancies.

SUMMARY OF HQ FUNCTIONS

KEY PERSONNEL

Director	Bernard J. O'Donnell
Chief of Staff	John L. Sproul
Inspector General	Vacant
Chief, Information and Legal Affairs Office	LtCol Dale L. Hartig, USA
Legal Advisor	Edmund F. McBride, Jr.
Director for Information Systems	Francis R. Cappelletti
Director for Investigations	Bernard H. Steacy
Director for Industrial Security	Frank Larsen
Director For Management and Resources	Frederick E. Taylor
Director for Personnel and Security	M. Arnold Werner
Director, Special Investigations Unit	William G. Dupree
Director, Personnel Investigations Center	James V. Richie
Regional Directors	
Boston, MA	Arthur J. Sullivan
Philadelphia, PA	John N. Held
Washington, DC	Donald P. Barron
Norfolk, VA	Norman H. Hempel
Chicago, IL	William G. Bell, Jr.
Kansas City, MO	LtCol William L. Diven, USAF
New Orleans, LA	Frederick E. Robey, Jr
San Antonio, TX	Col Howard G. Willis, USAF
San Francisco, CA	William R. Clayton
Los Angeles, CA	David L. McDonald

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DIRECTOR

DEFENSE INVESTIGATIVE SERVICE

Provides a single, centrally directed personnel security investigative (PSI) service for the Office of the Secretary of Defense, military departments, Office of the Joint Chiefs of Staff, unified and specified commands, the Defense agencies, and other U.S. government agencies when authorized by the General Counsel. Administers on behalf of the Department of Defense and other departments and agencies, programs for the safeguarding of classified information and conventional arms, ammunition and explosives entrusted to industry and furnishes advice and assistance to designed "key facilities" in plant protection, emergency preparedness and restoration planning.

Provides criminal investigative and fraud prevention survey support to the Defense Logistics Agency (DLA) and all DoD agencies; conducts special investigations as directed by the General Counsel. Provides clearances of industrial facilities and personnel; conducts surveys and inspections of industrial facilities and provides specialized training for industry and government.

Investigative activity is limited to the 50 states, the District of Columbia, and the Commonwealth of Puerto Rico. In all other types of investigations, the assigned mission is performed in geographic areas as authorized by the General Counsel. While surveys and inspections of industrial facilities are limited to the U.S., its territories and possessions, personnel security clearances for industry are handled worldwide as is liaison with cleared personnel, U.S. activities, foreign governments and NATO.

Is responsible for operation of a consolidated Personnel Investigations Center; manages the Defense Central Index of Investigations; operates the Defense Industrial Security Clearance Office which processes and grants personnel security clearances for contractor personnel; the Defense Industrial Security Institute which provides specialized security training courses; and the Office of Industrial Security, International in Brussels, Belgium which provides service to contractors, U.S. activities, foreign governments and NATO.

Biographical sketch of the Director is reflected on the next page.

BERNARD J. O'DONNELL, ES-04
Director
Defense Investigative Service

Mr. O'Donnell was born on 27 September 1923 in Quincy, Massachusetts. During World War II, he served with the Army Air Corps. He graduated from Boston University in 1949 with a degree of Bachelor of Science in Business Administration, and in 1966 he was awarded the degree of Master of Business Administration from Xavier University, Cincinnati, Ohio.

From 1950 to 1954, he was a Special Agent of the Federal Bureau of Investigation. In August 1954, he joined the Air Force Office of Special Investigations (AFOSI) at the Headquarters in Washington, D. C. He was assigned as a supervisor of espionage and counterespionage cases, and subsequently became chief of the section controlling these cases. During 1955 and 1956, in addition to his duties with AFOSI, he served as a member of the Military Personnel Security Committee at Hq U. S. Air Force. In August 1956, he was assigned to Europe where he served as Special Assistant to the Chief, Counterintelligence Division, AFOSI Hq, U. S. Air Forces in Europe (USAFE), and later was appointed as a Special Assistant to the Director of AFOSI (USAFE), with specific responsibility for all liaison with the United States and foreign intelligence, security and police agencies throughout the European theater of operations. In July 1960, he was reassigned to Wright-Patterson AFB, Ohio, where he became Chief, Procurement Investigations Division of AFOSI District 5. He was later appointed Chief, Criminal Investigations Division, of that district and served in that capacity until September 1969 when he was transferred to AFOSI Hq as Chief, Fraud Investigations Division. In August 1970, Mr. O'Donnell was designated Director of the AFOSI Personnel Investigations Control Center. While in that capacity, his Directorate was designated action office for both the Air Force and the Joint Chiefs of Staff in preparing the first Charter for the Defense Investigative Service (DIS). During the initial planning for the DIS, he was Chairman, Investigative Control Center Committee, with responsibility for establishing the mechanics for centralizing the control of all personnel security investigations conducted by DoD investigative agencies, developing standards and instructions for field investigative operations and instructions for the users of DIS services. Mr. O'Donnell was the first Assistant Director for Operations of DIS, which became operational on 1 October 1972, and served in that capacity until his appointment as Acting Director on 16 March 1975. He was appointed to the position of Director, Defense Investigative Service, effective 21 March 1976.

During his career, Mr. O'Donnell has completed investigative training administered by the FBI, AFOSI and Army CID, in addition to Air Force Command and Staff School, the Seminar Program of the Air War College, and the Industrial College of the Armed Forces. In January 1975, he completed the program in Executive Leadership and Management at the Federal Executive Institute. In May 1980, he completed the U. S. Secret Service Dignitary Protection Seminar.

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INSPECTOR GENERAL

The Inspector General (IG) serves as the confidential representative of the Director, DIS. The IG inquires into and reports on matters affecting the performance of mission, state of discipline, standardization and economy of operations, and performs additional duties as may be prescribed by the Director. The IG is responsible for the IG Complaint System and the DIS Inspections System as well as the DIS Staff Visit Program, and the program for inspection of DIS organizations by non-DIS personnel.

This group also provides a quality review of investigative matters at the Personnel Investigations Center, at the field elements, and of the reports of investigation that comprise the completed product -- the personnel security investigation.

The overall objective of IG inspections is to determine effectiveness and efficiency; to eliminate unnecessary tasks and functions; to eliminate internal organizational fragmentation and supervisory layering; to promote more efficient use of personnel, as well as to ascertain causative factors for deficiencies; and to make realistic recommendations substantiated by facts (noncompliance with policies and directives, low morale, poor working conditions, etc.).

CHIEF, OFFICE OF INFORMATION AND LEGAL AFFAIRS

Plans and coordinates implementation of the Freedom of Information Act and the Privacy Act of 1974, and administers the release of information in response to requests submitted under either Act. Plans, develops and implements policies, plans and procedures for the Defense Central Index of Investigations (DCII). Prepares, reviews, and releases summaries, extracts, and reports of investigative information for use by boards, courts, and other administrative proceedings. Is responsible for the accreditation of DOD components and other federal agencies for access to DIS files and the DCII. Is responsible for the release of investigative files in the National Capitol Region to accredited federal agencies which do not maintain liaison with the Personnel Investigations Center, and manages the agency's history and public information program.

Reviews agency policy, procedures, and directives for legality and propriety. Monitors legislation, both proposed and enacted, U.S. Supreme Court decisions, and other significant court decisions which may affect the operations and administration of the Defense Investigative Service. Interprets Public Laws, Executive Orders, and DOD Directives. Coordinates and monitors all items of Congressional interest and all responses to Congressional inquiries (except appropriation matters). Serves as liaison for legal matters with DOD General Counsel, General Counsel of the military departments, the Judge Advocates General, and U.S. Attorneys. Monitors and assists in the preparation of the defense of all suits brought against agency personnel which

result from the performance of official duties. Provides assistance and advice on legal questions which arise in the course of the conduct of criminal investigations. Provides the Director with advice on Freedom of Information and Privacy Act requests and appeals.

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DIRECTOR FOR INFORMATION SYSTEMS

Advises the DIS Director, the staff, and field activities concerning automated data processing (ADP), micrographics, data communications, word processing systems, and those manual systems that are affected by or interface with the technical areas mentioned. Manages the overall programs pertinent to these technical areas, to include establishment of objectives, risk management, and performance evaluation. Evaluates and approves ADP, micrographics, data communications, and word processing requirements. Provides policy and staff technical guidance, as well as management control, as required, over such systems. Works in close liaison with DOD, GSA, OMB, NBS, and other agencies on all matters affecting DIS policy regarding the technical areas mentioned. Conducts feasibility/procurement studies of new systems. Directs the evaluation of vendors' proposals and the subsequent selection process. Plans and initiates new automated data systems. Serves as senior ADP policy official. Reviews and evaluates all requests for ADP hardware, software, and ADP services. Is responsible for the acquisition of ADP software, equipment, and related services; deals directly with DOD, GSA, other government technical/procurement agencies and contract administrators to acquire ADP equipment/services or to modify contracts. Manages the DIS segment of the Defense ADP Re-utilization Program for replacement/disposition of ADP equipment. Is responsible for planning, budgeting, and reviewing the ADP and micromation programs for DIS. Exercises management control of and provides operational direction to the Information Systems Unit (V0900). Exercises technical control and operational cognizance of Investigative Files Division (IFD) microform activities.

DIRECTOR FOR INVESTIGATIONS

The Director for Investigations is the primary planning and policy making level within DIS for the establishment of policy and procedures for all DIS investigations and other related operations. Specifically, the Director for Investigations provides staff supervision and guidance for investigative matters within DIS; personally supervises and conducts highly sensitive investigations or protective service operations as required by the Director; represents the Director, DIS in conferences and meetings with members of OSD, congressional committees and their staffs, and other agencies, with authority to speak for and make commitments for the Director, with respect to DIS investigative matters and policy; assists DoD components in the establishment of programs which utilize DIS operational products; provides assistance to the schools of DoD investigative agencies by monitoring the curriculum and lectures on the procedures, techniques, and reporting of all DIS investigations and operations to assure their currency, objectivity, and effectiveness; formulates policy for operational training requirements of the assigned agents and conducts the necessary liaison to assure DIS enrollment in the appropriate federal investigative agency training schools; plans (operationally) and executes the training of new special agents at the DIS Basic PSI Course; assures the maximum possible security of DoD and its facilities through execution of all DIS investigations and operations; and analyzes statistical data covering investigations and operations conducted by DIS and provides reports to OSD relating to trends and forecasts. Material from these reports is used to determine manning and equipment needs, cost on investi-

gations and/or operations, and other items vital to the existence of the agency. In this regard, the Director for Investigations monitors the statistical data, workloads, personnel allocations and the intangibles impacting on DIS investigative operations, and coordinates with the Director for Personnel and Security and the Director for Management and Resources to insure that appropriate actions are taken to enhance operational effectiveness.

DIRECTOR FOR INDUSTRIAL SECURITY

The Director for Industrial Security serves as the highest technical authority and advisor to the Director, Defense Investigative Service in the administration of the Defense Industrial Security Programs: the Defense Industrial Security Program (DISP), the Arms, Ammunition and Explosives (AA&E) Program, and the DoD Industrial Facilities Protection Program (DIFPP). Jointly with the Director, plans, directs, and supervises the development of programs; education and training programs for civilian, military and contractor personnel engaged in industrial security activities; clearance of facilities and personnel for access to classified information; protection of international classified data and ADP security. Establishes goals and objectives for these programs and determines operating guidelines, approaches and modes of operation. Incumbent maintains continuous liaison with Office of the DUSD(PR) and Office of the General Counsel with respect to presenting policy proposals for discussion and approval and matters related to denials and revocations of personnel clearances. Represents the Director, DIS at high level policy meetings with pertinent OSD offices, other agencies serviced, all departments and agencies within DoD, investigative agencies, head of contractor firms, facilities and organizations, as well as representatives of international bodies and foreign governments. At such meetings, presents the Director's position in controversial areas and makes decisions for DIS and OSD, as appropriate. In consonance with the national policy of supporting U.S. industry in foreign marketing activities and in support of mutual weapons production under international defense cooperation, the incumbent maintains close liaison with defense representatives of North American and Mediterranean areas, major U.S. commands overseas, and international security programs. Director for Industrial Security monitors statistical data, workloads, personnel allocations and the intangibles impacting on DISP operations and coordinates with the Directors for Personnel and Security and Management and Resources to insure that appropriate actions are taken to enhance operational effectiveness.

Three DoD security programs involving facilities are administered by the Director for Industrial Security.

Defense Industrial Security Program: To assure the safeguarding of classified information entrusted to American industry by the U.S. and foreign governments, the Defense Industrial Security Program provides clearances for thousands of industrial facilities and over a million industrial personnel. Thousands of inspections are conducted annually to assist contractors to establish and maintain information security systems adequate for the protection of classified information. In addition to the entire defense establishment, this service is provided for 16 other federal departments and agencies as well as designated foreign governments. An Industrial Security Cognizant Security Office is located in each DIS region headquarters.

The Defense Industrial Security Clearance Office (DISCO), a DIS headquarters' field extension office, determines the eligibility of contractor personnel for access to classified information belonging to the United States, to international treaty organizations and to foreign governments. This office, located in Columbus, Ohio, maintains nationally centralized eligibility records of industrial personnel, plants and other facilities for access to classified information.

The Office of Industrial Security, International (OISI), a second DISHQ field extension of Industrial Security provides industrial security assistance to representatives of U.S. industry in connection with their marketing, liaison, technical assistance and contracting activities when conducted outside the U.S., its possessions and trust territories. Included in this assistance is maintaining personnel security clearance and security assurance records for cleared employees assigned overseas; processing visit requests to U.S., international pact organization and foreign government activities and to foreign industrial firms; providing secure

transmission channels and storage facilities for classified material; and conducting security briefings and orientations as may be required. The OSI is located in Brussels, Belgium.

The Defense Industrial Facilities Protection Program: This program, assigned for administration in 1973, was designed to develop and promote physical protection of industrial facilities within the United States which are important to defense production and mobilization of military operations (key facilities). Through periodic surveys, DIS provides security advice to management of the "key facilities" concerning overall physical security of their facilities and emergency preparedness measures that should be taken to prevent destructive acts, minimize damage or restore facilities and production in the event of damage. Each year thousands of physical security surveys of these designated "key facilities" are conducted.

Safeguarding of Arms, Ammunitions, and Explosives Program: Another DIS responsibility is inspection of over 300 DoD prime and subcontractors having possession or custody of conventional arms, ammunition, and explosives in connection with defense contracts. These inspections are designed to ensure these items are adequately safeguarded to preclude theft, misappropriation or loss.

The Defense Industrial Security Institute, a third DISHQ field extension office located in Richmond, VA, presents courses of instruction, both resident and extension, concerning the Industrial Security Program, the Industrial Facilities Protection Program and the DoD Information Security Management Program (classification management and safeguarding classified information). Eight separate courses of instruction are offered to U.S. government employees, representatives of industry, and selected foreign governments. A ninth course is offered only by invitation for representatives of selected foreign governments.

Methodology - The documents used by DIS to implement the DoD Industrial Security Programs are DoD 5220.22R (Defense Industrial Security Regulation (ISR)) as implemented by DLAM 8500.1 (Industrial Security Operating Manual (ISOM)); DoD 5160.54-R (Industrial Facilities Protection Regulation (IFPR)) implemented by DLAM 5160.1 (Industrial Facilities Protection Operating Manual (IFPOM)); and DODI 5100.84 (Physical Security of Sensitive Conventional Arms, Ammunition, and Explosives at Contractor Facilities).

DoD 5220.22-R (ISR) sets forth policies, practices, and procedures of the Industrial Security Program used internally by the DoD to insure maximum uniformity and effectiveness in its application throughout industry. This regulation also implements the security policies established by the DUSD (Policy Review) and establishes the procedures, requirements and practices concerned with the effective protection of classified information in the hands of industry, including foreign classified information which the U.S. government is obligated to protect in the interest of national security. DoD 5220.22-M, Industrial Security Manual (ISM), as a companion document to the ISR, contains detailed security requirements to be followed by U.S. contractors for safeguarding classified information. The ISM is made applicable to industry by execution of the DoD Security Agreement (DD Form 441) and by direct reference in the "Military Security Requirements" Clause in the contract. DLAM 8500.1 (ISOM) provides uniform guidance concerning the implementation of the ISR and ISM by Cognizant Security Offices in each DIS region.

DoD 5160.54-R (IFPR) implements the facility protection policies established by the ASD(C) and establishes the procedures, requirements, and practices concerned with (1) the comprehensive, valid identification and selection by the DoD components of those facilities which are of outstanding importance to defense production, defense mobilization, or military operations (i.e., "DoD Key Facilities") and

(2) the provision of advice and guidance concerning the application of physical security and emergency preparedness measures to participating DoD Key Facilities.

DODI 5100.84 prescribes standards for safeguarding certain categories of sensitive arms, ammunition, and explosives in the custody of or being manufactured by DoD contractors.

DIRECTOR FOR MANAGEMENT AND RESOURCES

Is responsible for various functions performed in the Budget, Accounting, Manpower and Logistics, and Administration Divisions. Coordinates and exercises staff supervision over the development, administration, review, and analysis of:

1. Financial plans, budget submissions, Program Objective Memorandums, and the Five-Year Defense Plan;

2. The distribution of funds, disbursement of checks and cash payments, and the cost accounting system;

3. Organizational structures, management engineering, manpower programming, and manpower utilization;

4. Supply and procurement systems, transportation and vehicle fleet management and control, facilities and space allocation, inter-service support agreements, and the occupational safety program;

5. Administrative procedures, publications, forms, orders, printing, correspondence, records, mail, graphic services, and general support;

6. Represents the Director in pertinent matters before OSD, OMB, and the Congress; and

7. Serves as principal advisor on the above matters to the Director, his staff, and field elements of the Agency.

The functional areas involving budget, manpower and logistics are discussed in more detail in sections 11, 12 and 15.

The Accounting and Administration Divisions perform a variety of functions in support of the investigative and inspection missions.

The Accounting Division provides centralized accounting, disbursing, and related support to the 265 operating locations. The DIS accounting system, supported by an Air Force B4700 computer located at Andrews AFB, MD, was approved by the Comptroller General of the United States in June 1975, only the second DoD accounting system to obtain such approval. The system encompasses all activities funded by and outlays chargeable to appropriations made available to the DIS. The system is designed to collect accounting data by using activity cost center concept in the accounting classification structure. Various audits have been conducted by "outside audit agencies" during the past several years without any adverse findings.

The Administration Division is comprised of three branches: 1) Publications, Forms and Orders; 2) Graphics; and 3) Correspondence, Records and Support.

The Publications, Forms and Orders Branch provides coordinated support to all DIS elements. DIS has an active Forms Management Program pursuant to the provisions of Public Law 90-620, revised. In 1979 a new forms and publications distribution system was established which reduced administrative support workload in the field by 50 percent. Transfer of the industrial security mission from the Defense Logistics Agency has added significantly to the support required from this Branch.

The Graphics Branch provides dedicated support to the headquarters and Special Investigations Unit and limited support to the field activities. During FY 1980 about 350 work orders were performed. About 60 percent of the support is for personnel security investigations. This branch is the focal point for audiovisual reports to OASD(PA) and Defense Audiovisual Agency(DAVA) and for the dissemination of guidance from them. Transfer of the industrial security mission from the Defense Logistics Agency included an audiovisual activity at the Defense Industrial Security Institute in Richmond, Virginia. During FY 1980 this activity

had an inventory of about \$27,000 and operated at a cost of about \$24,000.

The Correspondence, Records and Support Branch is responsible for the DIS records management program. Title 44-3102 of the United States Code requires each federal agency to have an active and continuing records management program. DIS was the first DoD agency to have a comprehensive records schedule approved by the National Archives Records Service (NARS). The DIS records management program entails control over the creation, maintenance and use of agency records and the separation of documents of temporary value from those of permanent value. Since beginning operations in 1972, records holdings have about doubled (from 3,375 to 7,500 cubic feet). In addition we have control of over 4,000 cubic feet of records stored at the Federal Records Center in Suitland, Maryland. Transfer of the industrial security mission is expected to add another 5,000 cubic feet to an active records holdings. This branch is also responsible for postal operations which are expected to increase by about 40 percent because of the industrial security mission transfer.

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DIRECTOR FOR PERSONNEL AND SECURITY

The Director for Personnel and Security is responsible for the development and implementation of plans, policies, and procedures for the management and administration of personnel and security programs involving civilian employees and military members assigned to the Defense Investigative Service (DIS). The responsibilities include the Equal Employment Opportunity (EEO) Program.

To discharge its numerous responsibilities, the directorate is organized geographically and functionally into three staff offices, three operating offices, and four divisions. The functions of these organizations are described below:

Staff Offices

Program Office: This office plans and develops all personnel and security programs consistent with DIS, Department of Defense (DOD), and Office of Personnel Management (OPM) requirements and goals regarding recruitment and placement, pay and position management, employee-management relations, employee development, performance, and personnel administration. Higher echelon policies, goals, regulations, and statutes in the above-listed areas are interpreted and supplemented when necessary. This office also provides primary staff advice and assistance to the Director for Personnel and Security and conducts reviews

and analyses of personnel and security operations to assess overall program effectiveness.

EEO Office: The EEO Officer advises the Director for Personnel and Security, who is also the Director of Equal Employment Opportunity, on program progress and recommends actions to assure that all personnel actions are free from discrimination and reflect affirmative action. The EEO Officer also establishes and maintains an effective discrimination complaint processing system. The EEO Officer is assisted by EEO investigators, the Federal Women's Program Manager and the Hispanic Employment Program Manager and by EEO Counselors assigned nation-wide throughout the organization.

Systems Requirements Office: This office analyses all personnel and security operations with a view toward enhancing directorate effectiveness and responsiveness through automation. This office also reviews changes to personnel and security programs before they are implemented so that existing or projected ADP capabilities are considered. An additional responsibility of this organization is its function as liaison point between directorate and ADP personnel and the role of staff advisor to the Director for Personnel and Security and members of the staff concerning ADP-related matters.

Operating Offices:

Administration and Services Office: This office processes personnel actions, maintains central personnel records and files, and maintains the suspense files for periodic actions and recurring reports. The staff provides information and determines entitlement in individual cases with respect to employee benefit programs including, but not limited to: leave, health benefits, life insurance, retirement, and unemployment compensation.

Holabird Personnel Operations Office: As the on-site personnel operating office in Baltimore, Maryland, this office provides personnel support to the 450 (approximate) employees assigned to the Personnel Investigations Center, Information Systems Unit, and two small, non-DIS activities with whom we have a servicing agreement.

DISCO Personnel Operations Office: This office provides on-site personnel support to the 180 (approximate) employees of the Defense Industrial Security Clearance Office, Columbus, Ohio.

Operating Divisions:

Classification, Employee Relations, and Training Division: The members of this division process position actions (establish, change, and cancel) and work with supervisors and managers to ensure that position descriptions accurate-

ly reflect the duties being performed. This office determines and assigns a title, classification series, and grade to all civilian positions and provides agency expertise in pay matters. The division is also responsible for advising managers, supervisors, and employees toward the resolution of job-related and personal problems. The employee relations function also encompasses the following program areas: labor relations, leave and absence, hours of duty, conduct and discipline, appeals, grievances, performance appraisals, suggestions, and incentive awards. Training and employee development are also the responsibility of this division. In July 1980, the DIS conducted its first basic agent training course; previously this training had been presented by the Air Force Office of Special Investigations.

Examining and Recruitment Division: This division is responsible for the recruitment and placement activities of the DIS. It administers the merit promotion program and members of the division serve as advisors to employees, supervisors, and managers in the area of recruitment and placement. Since July 1980, this division has been issuing certificates of eligibles to fill Investigator, GS-1810-09, positions DIS-wide as the result of a delegation of this authority from the Office of Personnel Management. Plans are underway to expand this authority to include Investigators, at the GS-5 and 7 levels and Personnel Security Specialist, GS-080-05, 07, and 09's. Although this represents a significant increase in the workload of the division, the accelerated responsiveness to management it provides more than justifies the additional effort.

Military Personnel Division: This division administers all personnel programs involving members of the Army and Air Force who are assigned to DIS. These programs include assignment and reassignment of personnel, promotions, and awards. Military authorizations are being gradually converted to civilian positions. Total civilianization will occur in FY83.

Security Division: This division develops policies and procedures for the execution of DIS personnel security, document security, and physical security programs. It provides staff assistance to DIS Headquarters and subordinate activities in the implementation of these security programs. The Security Division controls and issues badges and credentials to special agents and credentials to industrial security representatives.

In the area of personnel management and administration, a symbiotic relationship exists between the Directorate for Personnel and Security and the administrative officers in the ten regions. Although this latter group oversees all administrative and logistic functions of that region, their involvement in personnel matters is significant. This relationship is most prevalent in recruitment activities but is present to varying degrees in all personnel activities.

INVESTIGATIVE POLICY AND PROGRAMS

The Defense Investigative Service (DIS) is a federal law enforcement and personnel security investigative agency. In addition, DIS conducts "such other investigations as the General Counsel may direct." These missions or programs have evolved separately and will be discussed here and in subsequent paragraphs as separate programs although the same policies, at times, apply to both, and the personnel managing programs are generally the same.

Personnel Security Investigation (PSI) Program: A PSI is an investigation to determine a person's eligibility for access to classified information, assignment or retention in sensitive duties. Personnel security investigations include investigations of subversive affiliations, suitability information, or hostage situations conducted for the purpose of making personnel security determinations. They also include investigations of allegations that arise subsequent to adjudicative action and require resolution to determine an individual's current eligibility for access to classified information, or assignment to or retention in a sensitive position. The personnel security investigation is designed to develop information pertaining to an individual's loyalty, character, emotional stability, trustworthiness, and reliability by inquiring into the activities of that individual. The nature and scope of inquiry is determined by governmental directives, Executive Orders and Department of Defense issuances. Authorities utilize the information developed by a PSI

as a basis for determining whether military, civilian and contractor personnel may be granted access to classified information; or whether entry to restricted areas, access to nuclear weapons, security eligibility or acceptability for assignments to, or retention in, sensitive civilian positions and acceptance, or retention, as a member of the armed forces is clearly consistent with the interests of national security.

A history of the federal PSI program is traced in the Project 10 report of the Domestic Council Committee on the Right of Privacy. PSI's were originally instituted to enforce the Civil Service Act of 1883 and were used between World War I and 1939, to determine the reliability of federal employees, such as postmasters and law enforcement officers. During World War II, military personnel could be summarily removed on security grounds. The Federal Loyalty Program was established by E.O. 9835 in 1946 which authorized removal for disloyalty. Public Law 81-733, in 1950, authorized suspension or removal on security grounds by the Defense and Justice Departments and other agencies and departments designated by the President. In 1953, E.O. 10450 (described subsequently) was issued to replace E.O. 9835 and extended the security provisions of PL 81-733 to all agencies. E.O. 10450 remains the basic authority for PSI's.

Within the DOD, E. O. 10450 governs the conduct of PSI's on federal civilian employees. E. O. 10865 governs the investigations of industrial personnel who require access to classified information. Industrial and federal civilian employees account for less than one-half of the PSI's conducted by DIS. The majority of DIS PSI's are conducted on military personnel who are investigated under directives issued by the Secretary of Defense.

The three categories of personnel investigated by DIS (civilian, military and industrial) may be investigated for various reasons depending on the program in which they are involved. The basic PSI program, involving access to classified information, is detailed in DOD Directive 5200.2R, Personnel Security Program. Other reasons for PSIs are presidential support activities, access to nuclear weapons, and access to sensitive compartmented information. Each of these is governed by a directive, and DIS conducts the investigation necessary to fulfill the requirements of those directives. It is noted that DIS may only conduct PSI's on DOD affiliated personnel in accordance with guidance contained in DOD Directive 5200.27.

DIS conducts five types of PSI's on the three categories of personnel who fall within the purview of the DOD security program. The individual's required level of clearance, position and/or access dictates the type of investigation which is conducted. Those investigations are:

- a. National Agency Check (NAC) - The NAC consists of the search of the investigative indices/files of US governmental agencies/activities at the national level. The agencies which are checked are governed by the individual's personal history and activities.

b. Background Investigation (BI) - The BI is an inquiry into the activities of an individual consisting of a NAC, other records reviews, and interviews of knowledgeable associates.

c. Special Background Investigation (SBI) - The SBI is an inquiry into the activities of an individual (who has been nominated for participation in a special program) which is designed to meet the investigative requirements of the Director of Central Intelligence Directive (DCID) 1/14, approved 13 May 1976, DOD Instruction 5220.28, DOD Directive 5210.55 or similar DOD issuances. The SBI consists of all of the elements of a BI and additional investigative inquiries as directed by the respective instruction/directive (e.g., neighborhood inquiries and substantial increase of the time frame to be investigated).

d. Periodic Reinvestigation (PR) - The PR is designed to update a previously conducted BI or SBI based upon specific DOD directives relating to certain specified programs and/or activities, and pertains to individuals who have continuously held such positions since their previous investigations.

e. Special Investigative Inquiry - A Special Investigative Inquiry is a personnel security investigation conducted for one of the following purposes:

(1) To supplement a BI, SBI, or PR that has been closed out to the requester but subsequently found to be incomplete.

(2) To prove or disprove allegations relating to the criteria set forth in DOD Regulation 5200.2-R, except current criminal activities, that have arisen concerning a person upon whom a personnel security determination has been previously made and who, at the time of the allegation, holds a security clearance or otherwise occupies a position that requires a trustworthiness

determination. This includes investigations referred to in previous years as "complaint" investigations, now also referred to as "post-adjudicative investigations." (Special Investigative Inquiries are scopes as necessary to address the specific matters requiring resolution in the case concerned and generally consist of record checks and/or interviews with potentially knowledgeable persons, including the subject of the investigation.)

Methodology (DISM 20-1) - The document used by DIS to implement the DOD personnel security program is DIS Manual 20-1. DISM 20-1 outlines the basic policies, procedures, definitions, methods, techniques and reporting formats for PSI's. It is used by all DIS investigators to direct them in the conduct of PSI's and the proper means of reporting those investigations. It defines minimum standards necessary to satisfy investigative requirements of applicable instructions and directives. DISM 20-1 is amended routinely to accommodate changing guidelines and directives of DOD and the executive and legislative branches.

Attempts to streamline the PSI program and to make it more responsive have been many-faceted. Administrative standardization for requesters of PSI's was directed by Deputy Assistant Secretary of Defense (Administration), on 10 September and 31 December 1974. At the same time, those memoranda instructed all requesters to limit their requests to those that were clearly essential. DASD (Admin) Memorandum, 15 July 1974, eliminated the requirement for most Periodic Reinvestigations (PRs) and curtailed the scope of PRs which were not otherwise eliminated. Deputy Secretary of Defense Ellsworth's Memorandum, dated 3 May 1976, significantly reduced the scope of background investigations; permitted the use of telephone and letters to obtain information

under certain limited conditions; established uniform coverage for all Special Background Investigations (SBI); established guidelines for preliminary interviews of applicant/nominees to sensitive compartmented information prior to initiation of the SBI; and placed limitations on requests for investigations and retrieval of prior investigative files.

In order to more efficiently utilize investigative resources, DoD has, on three separate occasions, restated the single agency concept for domestic personnel security investigations. In the last statement (DASD (Admin) Memorandum, dated 25 November 1977), DoD set forth clarifying guidance to the effect that DIS will investigate "subversive affiliations, suitability information and hostage situations whenever such investigation is required for personnel security purposes," and providing there is an absence of a criminal or counterintelligence allegation under another agency's jurisdiction.

The Director of Central Intelligence Directive (DCID) 1/14, effective 13 May 1976, changed the minimum investigative requirements for all individuals who require access to Sensitive Compartmented Information.

Privacy Restrictions - In recent years the gathering, use and storage of personal information by the federal government has been restricted by various federal and state laws and regulations. These restrictions have affected the ability of DIS to gain ready access to information considered essential to personnel security adjudications. Education, medical and employment record information are all affected by these restrictions, and access to criminal history record information has been curtailed and even prohibited in some instances (e.g., the State of Massachusetts does not permit DIS to have access to police records.)

The Privacy Act, further described below, has had the greatest impact on DIS. Part of its impact is caused by those (in and out of government) who do not understand the Act and withhold information in the belief it is required. While most other enactments and restrictions of institutions do not totally deny DIS the information, they often impose restrictions on its use and require signed releases from the subject, both of which may detract from the timely completion and substance of the investigative product.

The amended Freedom of Information Act which became effective in February 1975 required DIS to make various types of records available, placing its operations and activities in the public domain. This Act initially had a substantial impact on DIS, but has played a relatively minor role since September 1975 when the Privacy Act of 1974 went into effect. The Privacy Act, which provides for release of personal information to the subjects of personnel security investigations, now accounts for the vast majority of requests for release of DIS records.

While the Privacy Act had little impact on the security afforded our investigative records due to the procedures already in effect, it did have a great impact on the conduct of PSI's. In implementing the provisions of the Privacy Act, DIS informs all interviewees and records custodians that all information they provide during an interview or records check, including their identity, may be released to the subject of an investigation upon the individual's request. The Act allows DIS to withhold from release to the subject the identity and any information that would tend to identify

a "confidential source." Unfortunately, the requirements of the Act have resulted in an increased number of sources who express the desire to remain confidential which reduces the value of such information for adjudicators.

When interviewing a subject, DIS special agents are required to advise the subject of the following four points:

- (1) The authority by which DIS is collecting the information;
- (2) The main purpose for which the information is gathered;
- (3) The routine uses that DIS will make of the information; and
- (4) The voluntary nature of disclosing such information to DIS.

Another impact the Privacy Act has had on DIS is the increase in personnel resources required to process approximately 200 requests per month from individuals who wish to review their investigative files.

Criminal Investigative Program. The Charter of Defense Investigative Service, DOD Directive 5105.42, dated 18 April 1972, tasked this organization with functions in addition to the PSI mission. These responsibilities were to conduct "such other special investigations as the Secretary of Defense may direct" and to "render appropriate assistance to investigative, law enforcement, intelligence, counterintelligence and other US and foreign government activities."

Secretary of Defense Laird, in a letter dated 29 December 1971, stated:

"In the near future, I intend to appoint a Study Group with a view toward determining whether the DIS functions should be expanded to include counterintelligence and criminal investigation." (Attachment 7).

Accordingly, much of the original planning as to organization was done with the expectation that additional missions could be forthcoming. Steps taken in furtherance of this position included the following: All new civilian agents during DIS formative years were trained in a basic criminal investigative course taught by AFOSI; field structure of 20 districts with a headquarters staff including experienced operations officers in each district gave DIS the capacity to respond to criminal investigative requirements throughout CONUS; Special Investigations Center in Washington, DC, was staffed to monitor not only PSIs but also any criminal investigations with a professional cadre of criminal investigators; and all special agent personnel were trained and qualified with handguns. It should also be noted that most of the investigators transferred to DIS had prior extensive criminal and/or counterintelligence investigative training and experience.

The issue of an expanded mission for DIS remained unsettled in the ensuing years because the Study Group envisioned by Secretary Laird was never convened. The November 26, 1974 Audit Report of the Directorate for MA and Overseas Audits (OASD Comptroller) recommended "that the study proposed by the SECDEF be conducted to determine whether the DIS functions should be expanded to include counterintelligence and criminal investigations." The House Appropriations Committee Surveys and Investigations

Staff Report of December 16, 1974, expressed concern that the aforementioned study had not been undertaken and was not high on any then current list of priorities within OSD. It went on to observe that some OSD officials favored expansion of the DIS mission while others opposed such expansion.

In May 1974, a memorandum from Deputy Secretary of Defense Clements concerning investigative support to DLA on matters of property disposal, bulk petroleum and subsistence activities required that the DIS and the military investigative agencies provide, as required, criminal investigations and survey support to designated elements of DLA. It was not until December 1975, however, that the expectations of additional missions for DIS were clarified in a memorandum by Secretary of Defense Clements which stated that the DIS mission would remain primarily PSIs. Nevertheless, DOD has continued to call for DIS to provide investigative support to DLA and to other DOD agencies.

Through the years from 1972, DIS has been requested to conduct special investigations by the Secretary of Defense. One such case in 1975 consisted of DIS operating a nationwide task force to investigate irregularities in DOD meat procurement which resulted in numerous convictions and fines involving military personnel and civilian contractors. These cases and the other DLA support amounted to less than one percent of the total DIS workload and less than five percent of total staff years.

In December 1977, DIS was placed under the control of the DOD General Counsel. Previously the DIS was under the staff supervision of the Assistant Secretary of Defense (Comptroller). Certain DOD directives (including DOD Directive 5105.42) had to be revised to accommodate that change.

The new DOD Directive 5105.42, dated 19 July 1978, redefined the DIS mission with respect to criminal investigations. It described DIS as "a federal law enforcement and personnel security investigative agency." Further, DIS was directed to "conduct within the fifty states, District of Columbia, and Commonwealth of Puerto Rico, when authorized by the General Counsel, law enforcement investigations of activities involving DOD components or DOD contractors and conduct other such investigations as the General Counsel may direct."

Since the withdrawal of the Federal Bureau of Investigation from routine apprehension of deserters, DOD has published a revised DOD Directive 1325-2, "Desertion and Unauthorized Absenteeism," which calls upon DIS to only assist the military services in their liaison with local law enforcement agencies so as to encourage active participation in such agencies. DIS is also called upon to participate in an annual evaluation of the program and to recommend appropriate changes.

As set forth in Section 12, the DIS special agent force will eventually be civilianized. In the interim, in July 1979, DIS has removed its military investigative personnel from all involvement in criminal investigations due to the potential for violating the Posse Comitatus Act (in that military personnel are prohibited from enforcing civilian law). Secondly, the US Attorney General revised the categories of federal law enforcement officers who are authorized to request search warrants by adding DOD civilian agents who are not subject to military direction.

Currently, a new DIS Manual 20-2 which will promulgate policy on criminal investigation activities, has been prepared in draft and is being staffed for publication.

PERSONNEL INVESTIGATIONS CENTER

Functions of the Personnel Investigations Center (PIC) include the initiation, management, review and dissemination of all Personnel Security Investigations (PSIs), including the management of the Defense Investigative Service Files Repository. As previously stated, the PIC is located in Baltimore, MD, and has an authorized strength of 364 personnel. A recent reorganization, completed at the end of fiscal year 1979, divided the PIC into four separate divisions and an Operations Management Office to monitor overall activities. The division functions are as follows:

The Investigations Division has four branches. Each branch has modular units (teams consisting of Team Chief, 7 controllers and 4 administrative personnel) which individually are responsible for all phases of controlling the PSIs. Specifically, they receive requests for investigation from the approximately 2700 authorized DoD requesters. They review the request package for sufficiency, retrieve prior files, if indicated, identify the field activities to conduct respective leads and dispatch leads (via DIS action/lead sheets) via the United States Postal Service. The teams provide input to the automated data system which provides the ADP products necessary for the management, control and accountability of investigations. The teams are responsible for receipt and review of completed investigative reports which are forwarded directly from field units. The completed work is reviewed for investigative sufficiency, the requirement for additional leads and referral to other agencies. Upon final receipt of all reports, the teams disseminate completed investigations directly to requesters.

The Investigative Files Division operates the DIS Investigative Records Center which receives and maintains all investigative files created by or for DIS. This division also reproduces and dispatches investigative information/files to authorized requesters worldwide as appropriate.

The National Agency Check (NAC) Division receives requests for NACs from authorized requesters, or from the PIC Investigations Division when a BI in progress also requires a NAC. The NAC Division reviews the requests for sufficiency, retrieves prior files, if any, dispatches requests for record checks to the appropriate National Agencies (e.g., FBI, CIA, INS), reviews the final product for sufficiency and provides it to the requester by mail (or electronically when the requester is Army or the Defense Industrial Security Clearance Office).

The Support Services Division supervises and develops policies and procedures governing PIC logistic, administrative and security matters.

PIC uses the Defense Case Control System (DCCS) (further explained in Section 14) to manage work flow. Based upon a valid request for investigation, PIC begins its function by bringing individual requests under control by assigning a control number to each request and entering this number into the supporting automated system's data bank. DIS accountability begins at this point. This action triggers an automatic demand upon the DCII (an index reference to investigations DoD wide, regardless of type (PSI, CI, criminal, special)). This automatic query determines whether or not prior investigative files exist elsewhere, either in DIS or the three services. If there are such files, a request is made to the appropriate repository.

The request for investigation and prior file, if any, is screened to determine the investigative requirements and identification of the field unit or units which are to conduct the leads. The leads are then sent directly to the appropriate DIS field office or resident agency via a DIS action lead sheet which includes the subject's Statement of Personal History (SPH)/Personnel Security Questionnaire (PSQ) and any necessary prior file data. The field elements receive guidance and control on cases directly

from PIC. The field generated reports of investigation are reviewed for investigative sufficiency. If the investigation lacks sufficient coverage, additional leads are generated. In the same vein, if the field develops new leads, they are laterally sent by that office to the appropriate unit. Every lead on the case, regardless of origin, is entered in the DCCS for case management/lead accountability. Similarly, once the case is completed, it is closed in the DCCS and accountability in the DCII is charged to the Investigative Files Division. The original is then retained for file and the requester notified of the results either by annotation on the DD Form 1879 or by a copy of the complete investigation.

The PIC uses the NAC Case Control System (NCCS) for all NACs. The NCCS is similar to the DCCS in that it maintains accountability of all NACs opened in the system, identifies the various agencies which must be contacted, and records the results of each agency checked.

The timely completion of quality investigations at reasonable costs is a continuing objective. The centralization of investigative control introduced a number of advantages, which could not be achieved under the former system, which delegated control to the services. DIS, through coordination with the Deputy Assistant Secretary of Defense (DASD) (Security Policy), was able to implement uniform standards of investigative criteria, scoping and reporting format which simplified adjudication procedures by the services and DoD agencies. Succinctly stated, the ultimate advantage of centralized control lies in the ability to respond more quickly with greater flexibility and singleness of purpose. Equally important is the fact that the entire DoD personnel security program can now be surveyed from the vantage point of a central control office and weaknesses or discrepancies not previously apparent under fragmented control can be detected and remedied. Such a system allows

the development of a valid statistical base for appraising implementation
of the DoD personnel security program.

December 1980

THE DEFENSE INDUSTRIAL SECURITY CLEARANCE OFFICE

The Defense Industrial Security Clearance Office (DISCO) became operational on 1 March 1965 for the purpose of determining on a nationally centralized basis the eligibility of industrial personnel for access to U.S. and foreign classified information. Although DISCO is the principal granter of clearances, complex cases involving issues are referred to OSD for final decision. The DISCO, a field extension of the Director for Industrial Security, DIS, is physically located as a tenant activity at the DLA Defense Construction Supply Center, Columbus, Ohio. At the time of its establishment, DISCO inherited the assets and personnel security clearance workload of approximately 115 Army, Navy, and Air Force offices. It also absorbed from the Army the Central Index File containing the industrial security clearance records of approximately 16,000 contractor facilities and 1.5 million individuals working in those facilities. The Central Index File became the nucleus of the filing system which is now computerized at DISCO. Currently DISCO is authorized 191 personnel to accomplish assigned missions.

The organizational structure of DISCO is comprised of the Office of the Chief, three divisions and an Operations and Analysis Office. The Personnel Clearance Division is the largest division within DISCO and handles almost 90 percent of the clearance workload. This division establishes the in-process personnel security record and initiates investigative requests, performs all functions relating to the facility address file and updates and maintains the personnel security clearance file, grants and/or transfers personnel security clearances and assurances for industrial and certain other personnel when no (or only minor) adverse information exists, and processes visit requests for U.S. contractor personnel for international assignments and for foreign nationals visiting U.S. facilities.

The Adjudication Division determines the eligibility of personnel for an industrial security clearance when other than minor adverse information exists and refers cases, as necessary, to a higher level recommending denial, suspension or revocation. Additionally, this division acts on clearance requests involving immigrant aliens and "special access" programs and determines psychiatric referrals in all DoD industrial personnel security cases.

The Clearance Support Division as the name implies provides common centralized administrative and mission support services such as maintaining a central file repository, controlling ADP product outputs, etc.

DEFENSE INDUSTRIAL SECURITY CLEARANCE OFFICE
PERSONNEL CLEARANCES SUMMARY

FISCAL YEAR	GRANTED	TERMINATED
1977	134,575	116,644
1978	140,530	119,697
1979	146,963	96,530
1980	156,383	113,990

ACTIVE CLEARANCES ON FILE AT DISCO: (30 Sep 80) 854,165

TOP SECRET	75,419
SECRET	773,104
CONFIDENTIAL	5,262
LTRS OF ASSURANCE -	380

COMPANY GRANTED CONFIDENTIAL CLEARANCES - 327,503

TOTAL INDUSTRY PERSONNEL CLEARED - 1,181,668

DEFENSE INDUSTRIAL SECURITY INSTITUTE

The Defense Industrial Security Institute is a jointly staffed activity established by the Secretary of Defense and administered by the Defense Investigative Service (DIS) as an activity of the Directorate for Industrial Security.

The Institute presents courses of instruction, both resident and field extension, relating to the Defense Industrial Security Program, the Defense Industrial Facilities Protection Program, and the Defense Information Security Program.

Institute courses are scheduled for U.S. government personnel plus employees and representatives of U.S. industry. An orientation conference has also been established for representatives of selected foreign governments.

Industrial security training was first conducted in 1955 by the U.S. Army as DoD Executive agent at Ft. Holabird, Maryland.

Responsibility for industrial security training was transferred to the Defense Supply Agency (DSA) in 1965; however, the Army continued to conduct the training for DSA at Ft. Holabird.

In January 1972, the Defense Industrial Security Institute opened in Richmond, Virginia as a field activity of DSA to conduct industrial security training for the DoD.

Responsibility for the information security training mission was assigned to the Institute in April 1973; the industrial facilities protection training mission was assigned in June 1973.

The Institute offers nine courses. A brief description of these courses appears at Attachment 8.

Since 1972, more than 17,000 students have graduated from courses offered by the Institute.

During FY 80, a total of 3,173 students attended Institute courses.

1,666 (53%) were from DoD

99 (3%) were from other government agencies

1,408 (44%) were from private industry

Field extensions accounted for 2,340 or almost three-fourths (74%) of all Institute graduates during FY 80.

The most popular Institute course in FY 80 was the Information Security Management Course which was attended by 1,523 personnel, representing 48% of all graduates.

In March 1979, the Institute was assigned responsibility for developing security education materials and presenting counterintelligence awareness briefings for industrial contractor personnel. These efforts will:

provide contractor personnel in private industry with a centralized source for security training materials;

alert key personnel in private industry as to nature and scope of the threat posed by visitors/agents from Communist Bloc nations;

benefit more than 1,000,000 persons in private industry who are cleared to work with classified information;

The faculty is comprised of three military and seven civilian instructors. Six other personnel are assigned in a support capacity. Three personnel are assigned to the Security Education Division.

On 1 October 1980, the Defense Industrial Security Institute, along with the total industrial security function, was transferred from the Defense Logistics Agency to the Defense Investigative Service (DIS). The Institute serves as host for training courses, symposiums, and conferences sponsored by the DIS.

SPECIAL INVESTIGATIONS UNIT

The Special Investigations Unit headed by a director, is a field activity located at DISHQ with an authorized strength of 14 agents and three administrative personnel. Its primary function includes the supervision, control and conduct of law enforcement investigations requested by the Defense Logistics Agency (DLA), other DOD agencies and as directed by the General Counsel. Investigations range from security compromise cases, crimes against persons and property cases to fraud cases. Other functions include: providing support to other law enforcement agencies which have primary jurisdiction in investigations involving DOD personnel; conducting fraud prevention surveys for the Defense Logistics Agency with special emphasis on detection of crime conducive conditions in the agency's management, procurement, security and automated data processing systems and recommendations for corrective action; providing investigative expertise on unique high level OSD projects and participating in governmental conferences on law enforcement issues, particularly white collar crime; acting as DIS coordinator and contact point with appropriate officials at OSD, DOJ, FBI, DLA, DCAA, DAS, and Congressional staffs relative to DOD criminal investigations and other sensitive matters.

Authority for the SIU's mission was created by the Deputy Assistant Secretary of Defense (Administration) memorandum of May 7, 1974, which apportioned criminal investigative support to DLA among the military service investigative agencies and DIS. In FY 80, this support to DLA alone translated to a workload consisting of 220 criminal investigations and 15 fraud prevention surveys.

The SIU's investigative role in fraud investigations is further covered in Section 10.

DEFENSE INVESTIGATIVE SERVICE'S INITIATIVES

IN COMBATING FRAUD, WASTE AND ABUSE

IN DOD AGENCIES

Background. The Defense Investigative Service (DIS) has been successfully involved in combatting fraud within the Defense agencies and investigating fraud matters that involve more than one military department or a single military department when directed by the DOD General Counsel.

The Special Investigations Unit (SIU) of DIS is the focal point covering this program. It provides the supervision, control and coordination of all criminal investigations. This unit makes the initial contact directly with the Criminal Division, Department of Justice (DOJ), and/or the United States Attorneys concerning major fraud investigations. This direct relationship has developed over several years and has resulted in significant fraud prosecutions of major DOD contractors. This relationship began in 1975 in response to the Secretary of Defense's concerns about alleged wide-spread fraud in the subsistence procurement program. DIS, under the guidance of the DOJ, directed an investigative task force or "team approach" consisting of contract specialists, auditors and investigators from the military departments. This innovative approach of a team concept has been very successful in obtaining substantial prosecutions. In fact, DIS has approximately 40 major criminal investigations it is conducting under the direct guidance of DOJ or a local US Attorney. A substantial amount of these cases involve significant allegations of contract fraud. In instances of these types of cases, DIS employs the "team concept."

Even though DIS's investigative role is small, it has purposefully concentrated limited investigative resources on significant incidences of contract and procurement fraud in major DOD programs. These efforts also parallel the recent DOJ's report on "National Priorities for the Investigation and Prosecution of White Collar Crime."

DIS's primary efforts in combatting fraud is directed first towards criminal prosecution, second, civil actions, and third, administration action such as price adjustments and warrant actions. A corollary objective of DIS fraud investigations is to identify and spot those management practices and system weaknesses through fraud prevention surveys which can be regarded as crime conducive or exploitable.

Coordinating with Defense Agencies. The DIS, Defense Audit Service (DAS), Defense Contract Audit Agency (DCAA) and the Defense Logistics Agency (DLA) periodically meet to discuss mutual matters and in particular to review the progress of fraud cases referred from these particular agencies. Representatives from DOJ also attend to discuss what actions are necessary to successfully conclude these investigations.

DIS also conducts surveys in conjunction with the DAS in such areas as OCHAMPUS Medical Program, survivor benefit entitlements, retired military pay and dependent entitlement to military hospital services. When DAS discovers irregularities in such programs, it will request DIS to make a more thorough investigation to determine if any fraud is involved. If suspected fraud surfaces, an investigation is opened. Recently a 22 count criminal indictment was

rendered against a medical counselling facility for making false statements, mail fraud, aiding and abetting and conspiracy to defraud. Also, DIS has numerous such fraud cases pending involving these programs.

Interface with Other Federal Law Enforcement Agencies. The DIS has always maintained a close association with other federal law enforcement agencies. This association has further been accentuated with the advent of the Inspector General's Act of 1978. Currently, DIS is working jointly with several executive department IGs pertaining to fraud matters. In addition, there are many areas in which certain agencies have exclusive or concurrent jurisdiction, particularly involving the Federal Bureau of Investigation (FBI). In the past, such cases were referred automatically to the FBI, however, with the Attorney General's pronouncements that the FBI cannot do the job alone, and in particular, that DOD has available investigative and auditing resources, there is a concerted effort among the affected agencies to investigate these fraud matters on their own or jointly with each other. Presently, DIS is working with several federal agencies on multi-million dollar fraud cases involving DOD programs.

Investigative Team Concept. Depending on the nature of the investigation, the SIU will form a team consisting of several agents, auditors, specialists, or an attorney from the procurement activity. The team members will meet periodically to discuss the progress of the investigation and make preparation for referral to the Fraud Section of DOJ or the appropriate US Attorney. Upon acceptance for prosecution, the team members will work exclusively on these investigations for periods of time which may exceed several years.

Currently, DIS has several such joint fraud investigations involving multi-million dollar contracts. As a result of this innovative approach, DIS successfully completed an investigation wherein a major US company was fined over \$700,000 which was the highest adjudged criminal fine ever in the District of Massachusetts. Further, the company is to repay approximately two million dollars of questionable costs to the government. These investigative results are unprecedented for a Department of Defense (DOD) investigative element and conclude over two years of joint investigative efforts by DIS and the DOJ.

Fraud Prevention Surveys. One of the major initiatives employed by DIS to combat fraud and waste is the use of fraud prevention surveys. The DLA headquarters selects certain areas of internal operations or control systems that they feel may be susceptible to any form of criminal activity or weaknesses. A survey team usually consisting of three or more DIS agents, a specialist and an auditor on occasion will interview key operational personnel, review inspections, investigative and audit reports. This examination will also include the actual testing of the internal controls. DIS in conducting these surveys emphasizes the "audit trail" approach to test a system's internal control. DIS recently completed surveys of sophisticated computer operations and has surveys scheduled this FY. Surveys generally take two to three weeks to complete. Final survey reports denote specific deficiencies, observations and recommendations to correct them.

Fraud Awareness Training. DIS does not have its own training program in law enforcement investigations. DIS relies on educational programs offered by

other federal law enforcement agencies. Its agents receive advance fraud training at the White Collar Crime Seminar, FLETC, Glynco, Georgia. Due to the expertise DIS has developed in conducting complex procurement fraud investigations, DIS provides instructors for the White Collar Crime Seminar. Specialized training is received through several DOD educational programs and DLA.

The SIU recently hosted two seminars presented by the DOJ's Civil Division and its Public Integrity Section. Representatives from several DOD agencies were in attendance.

DOD Hotline. On 2 April 1979, the DIS established the DOD Hotline System, under the direction of the Office of General Counsel, Office of the Secretary of Defense (OSD). The service acts as the point of contact (POC) for DOD related allegations/complaints of fraud, waste or abuse. As the POC, the DIS is responsible for processing and forwarding information received through DOD Hotline channels to the applicable DOD components for investigation and other action as deemed appropriate.

DIS operates the hotline at its Washington, DC headquarters. DIS also operates as the POC between the General Accounting Office (GAO) and DOD for all DOD related calls received by the GAO Hotline Task Force on fraud, waste and abuse. DIS exercises no evaluation or analysis role in the GAO hotline process.

The DOD element to whom the hotline item was referred is the final authority over what administrative action is directed in cases involving substantive allegations of wrongdoing that are declined by the US Attorney's Office for prosecution in favor of administrative action.

Since the inception of the program through 30 September 1980, DIS has received 631 calls via the DOD Hotline and referred 364 to DOD components. The total number of referrals received from GAO since the beginning of the program is 834. Several ongoing cases, which involve government contracts, may result in substantial savings or recoupment of public funds, when they are completed. However, these investigations are necessarily long termed and detailed in nature.

The DOD Hotline telephone numbers are: Toll Free (800) 424-9098; National Capital area 693-5080. Hours of operation are 0800-1630 (EST).

BUDGET

The operations of this agency are funded by three direct appropriations-- Operation and Maintenance, Defense Agencies (O&M, DA), Procurement, Defense Agencies (P, DA) and Military Construction, Defense Agencies (MC, DA). The O&M, DA appropriation pays our civilian work force (about 83% of the budget), the rents, communications (telephones and mail), buys the supplies needed for daily operations, the repair and maintenance of our equipment, and, assundry costs. The P, DA appropriation finances the procurement of equipment costing more than \$1,000 per item. Our major procurements consist primarily of motor vehicles to replace those being disposed of because of age or excess mileage, thus, the size of this appropriation fluctuates with the size and relative condition of our vehicle fleet. No MC, DA funds are included in the FY 1981 - FY 1985 Program Objective Memorandum. A one-time requirement to improve the heating in our building in Baltimore, Maryland was in the FY 1980 budget. This satisfies our construction requirements for the foreseeable future.

Assigned military personnel receive their basic pay and allowances from their parent services. The above appropriations, however, do finance their support costs (supplies, travel, per diem, etc) while they are working for this agency.

Our FY 1981 budget, submitted to the Congress during January 1980, is \$4.9 million greater than the current estimate for FY 1980. This amount includes \$.4 million for inflation and annualization of pay increases occurring during FY 1980 offset by the saving of one less day of pay in FY 1981. Excluding these amounts the net increase is \$4.5 million. This increase is primarily for (1) \$1.7 million for the first phase of a three year program to convert all the military positions to civilian positions as the military rotate out

of the agency (2) \$2.7 million for an increase of 95 civilian positions to close about 11,000 cases more than in FY 1980 and level off the increasing average case completion times at 109 days. Both these increases require major increases in the agency's travel and transportation of things accounts to fund training of new civilian agents and relocate the new hires to the location of the work.

Since the submission of the FY 1981 President's Budget in January 1980, OSD has directed two actions which are not reflected in the resource numbers in this section. The actions were: (1) OSD directed the transfer of the Industrial Security Program from the Defense Logistics Agency (DLA) to the Defense Investigative Service (DIS) in FY 1981; and (2) added 313 civilian positions in FY 1981, an advancement of FY 1982 approved resource levels, to address current program problems (225 for Personnel Security Investigative Program and 88 for Industrial Security Program). The funds to support these actions are under review by OASD(C) and will be determined during the FY 1981 Revised and FY 1982 Budget Estimates Review.

SUMMARY OF RESOURCES IN FY 1981 PRESIDENT'S BUDGET

	<u>FY 1979</u>	<u>FY 1980</u>	<u>FY 1981</u>
<u>Appropriations (\$ in thousands)</u>			
Operation and Maintenance, Defense Agencies	34,639	38,094	43,010
Military Personnel Expenses	4,572	3,975	3,127
Sub-total	(39,211)	(42,069)	(46,137)
Procurement, Defense Agencies	93	545	674
Military Construction, Defense Agencies	...	260	...
Total	<u>\$39,304</u>	<u>\$42,874</u>	<u>\$46,811</u>
 <u>Employment (End Strength)</u>			
Civilian Personnel	1,505	1,540	1,689
Military Personnel	227	200	130
Total	<u>1,732</u>	<u>1,740</u>	<u>1,819</u>
 <u>Performance Criteria</u>			
<u>Personnel Security Investigations</u>			
Cases opened	152,974	156,900	156,900
Cases closed	146,277	144,373	155,438
Cases pending, end of year	33,898	46,425	47,887
Leads accomplished	2,346,883	2,306,102	2,482,848
Agent work years	864	837	888
Leads per agent, per month	226	230	233
Average case completion times (days)	71	96	109
 <u>National Agency Checks</u>			
Cases closed	769,474	793,777	791,608
 <u>Law Enforcement Investigations</u>			
Cases opened	189	215	254
Cases closed	150	146	146
Cases pending, end of year	135	204	312
 <u>Surveys (Crime Prevention and Detection)</u>			
Cases opened	17	18	24
Cases closed	18	18	18
Cases pending, end of year	5	5	11
 <u>Other Investigations</u>			
Cases opened	13	17	22
Cases closed	13	17	22
Cases pending, end of year	0	0	0

11-3

Revised 5 Feb 80

CURRENT FIVE YEAR DEFENSE PLAN

	<u>FY 1981</u>	<u>FY 1982</u>	<u>FY 1983</u>	<u>FY 1984</u>	<u>FY 1985</u>
<u>Dollars (\$000)</u>					
Military Personnel Expenses	3,127	1,865	641
Operation & Maintenance, DA	43,000	45,536	47,950	49,200	49,634
Sub-total	(46,127)	(47,401)	(48,591)	(49,200)	(49,634)
Procurement, DA	674	761	1,321	1,578	1,169
Construction, DA
Total	<u>\$46,801</u>	<u>\$48,162</u>	<u>\$49,912</u>	<u>\$50,878</u>	<u>\$50,803</u>
<u>Personnel</u>					
Civilian	1,689	1,754	1,817	1,816	1,819
Military	130	65
	<u>1,819</u>	<u>1,819</u>	<u>1,817</u>	<u>1,816</u>	<u>1,819</u>

Revised 5 Feb 80

SUMMARY OF OSD AND CONGRESSIONAL RESPONSES
TO DIS OPERATING BUDGET REQUESTS

Fiscal Year	Action	Funds		Personnel		
		Q&M, DA	Proc, DA	Civilian	Military	Total
1974	DIS Request	21,187	138	1,250	1,750	3,000
	OSD Approved	20,694	138	1,212	1,750	2,962
	Appropriated	20,320	138	1,160	1,750	2,910
1975	DIS Request	26,523	674	1,422	1,504	2,926
	OSD Approved	25,541	674	1,315	1,315	2,630
	Appropriated	25,401	674	1,315	1,315	2,630
1975	DIS Request	28,385	1,142	1,490	1,020	2,510
	OSD Approved	28,437	1,142	1,470	1,000	2,470
	Appropriated	25,397	1,142	1,205	600	1,805
1976	DIS Request	7,121	...	1,494	1,015	2,510
	OSD Approved	7,119	...	1,474	996	2,470
	Appropriated	6,144	...	1,209	596	1,805
1977	DIS Request	28,706	731	1,420	700	2,120
	OSD Approved	28,600	731	1,405	400	1,805
	Appropriated	28,000	731	1,405	400	1,805
1978	DIS Request	31,408	513	1,526	300	1,826
	OSD Approved	30,500	513	1,490	300	1,790
	Appropriated	29,846	513	1,490	300	1,790
1979	DIS Request	33,525	93	1,541	200	1,741
	OSD Approved	33,600	93	1,569	200	1,769
	Appropriated	33,600	93	1,569	200	1,769
1980	DIS Request	35,898	545	1,569	200	1,769
	OSD Approved	35,310	545	1,542	200	1,742
	Appropriated	38,094	545	1,540	200	1,740
1981	DIS Request	43,028	674	1,581	130	1,711
	OSD Approved	43,010	674	1,689	130	1,819
	Appropriated					

Revised 5 Feb 80

MANPOWER

The FY 1981 and FY 1982 budgets provide for 2,802 personnel (2,657 civilians and 145 military), or an increase of 1,062 over the 1,740 authorized for FY 1980. The increase includes 741 authorizations for the Defense Industrial Security Program (ISP) and 17 associated supporting manpower spaces transferred from the Defense Logistics Agency effective in fiscal year 1981. The increase also includes 304 additional authorizations for the Personnel Security Investigations (PSI) Program.

The original FY 1973 authorizations, solely for the PSI Program, provided for 3,000 personnel (1,250 civilians and 1,750 military). The FY 1980 budget had provided for 1,740 personnel, including 1,540 civilians and 200 military for the PSI mission. Thus, over a period of seven years the DIS had suffered a decrease of 1,260 personnel, or 42 percent of its original allocations for PSI. During the same period of time, the number of personnel security investigations opened each year had increased by 15 percent.

Beginning in FY 1979 we experienced a great increase in the number of requests for investigations resulting in an alarming increase in case completion times and the backlog of uncompleted cases. Thus the 304 additional authorizations referred to above are part of a long-range plan to reduce case completion times to 65 days by FY 1985.

By the end of FY 1983 DIS will have completely civilianized the workforce under a Civilianization Program which was started by DIS in FY 1974 and continued by OSD and the Congress.

WORKLOADS

The primary investigative mission of DIS is to conduct personnel security investigations (PSI). About 98 percent of the DIS street agents are devoted to this mission. Requests for PSIs have increased about 15 percent since FY 1974, the first full year of DIS operations.

The latest DIS charter of 19 July 1978 placed DIS under the authority, control, and direction of the General Counsel of the Department of Defense and established DIS as a federal law enforcement agency as well as a personnel security investigative agency. The criminal cases, fraud prevention surveys and the special investigations workload factors reflect the impact of the law enforcement function on the DIS charter.

The DIS charter is currently undergoing revision to incorporate the latest transfer of the industrial security mission to DIS which went into effect on 1 Oct 1980.

SUMMARY OF WORKLOAD FY 1974 TO PRESENT
(Cases Opened)

	FY 1974 <u>Actual</u>	FY 1975 <u>Actual</u>	FY 1976 <u>Actual</u>	FY 1977 <u>Actual</u>	FY 1978 <u>Actual</u>	FY 1979 <u>Actual</u>	FY 1980 <u>Actual</u>
Personnel Security Investigations	151,426	148,614	131,418	142,919	146,757	145,111	174,090
National Agency Checks	840,721	930,016	861,210	908,806	766,677	767,000	903,502
Special Investigations	*	*	10	13	3	3	13
Criminal Investigations	-	38	65	105	199	189	220
Fraud Prevention Surveys	-	11	11	6	17	13	15

*A total of 12 special investigations were opened during FY 1974 and 1975 but we do not know how many in each year.

CHANGE IN DIS PSI WORKLOAD FY 74 TO FY 80
(Cases Opened)

	FY 1974 Actual	FY 1980 Actual	FY 1980 (Over (+)/ Under (-) FY 1974	
			<u>Number</u>	<u>Percent</u>
Background Investigations	52,645	64,018	+11,373	+ 22
Special Background Investigations	56,675	64,315	+ 7,640	+ 13
Bring-Up Investigations	21,836	19,011	- 2,825	- 13
Expanded NAC	11,691	26,461	+14,770	+126
Limited Inquiries	1,517	36	- 1,481	- 98
Complaint Cases <u>1/</u>	0	249	+ 249	NA
SIC Cases <u>2/</u>	<u>7,062</u>	<u>0</u>	<u>- 7,062</u>	<u>NA</u>
Total PSI	151,426	174,090	+22,664	+ 15
NAC	840,721	903,502	+62,781	+ 7

1/ New type to handle past operation cases.

2/ PSI issue cases formerly controlled by the Special Investigations Center.

INDUSTRIAL SECURITY PROGRAMS WORKLOAD

FY 80

FACILITIES	AA&E	DIFPP	DISP	TOTALS
COGNIZANCE	328	1608	11681	13652
DELETED	26	749	1103	2031
ADDED	13	101	1368	2457
SURVEYS/INSPECTIONS	322	1490	23073	24885

APPROXIMATELY 600 FACILITIES COMMON TO DIFPP & DISP

146 INDUSTRIAL SECURITY REPRESENTATIVES ON BOARD AT END OF FY 80

AUTOMATED DATA PROCESSING SYSTEMS

SCOPE OF ACTIVITY - The Directorate for Information Systems concerns itself with broad areas of policy, planning, supervision, system design, and progress monitoring in the areas of ADP, microform, and telecommunications.

AUTOMATED DATA PROCESSING

Organization - The staff element is located at 1900 Half Street (Buzzard Point). The field operating unit, Information Systems Unit, is located at Baltimore, MD, and is under the operational control of the Director for Information Systems.

Equipment - Currently, the field unit operates an IBM 4341, an interim economic replacement for the IBM 370/145. The latter was installed to replace an older, failure-prone IBM 360/40 inherited from the Army at the time DIS became operational and assumed management of the Defense Central Index of Investigations (DCII). The specified make and model procurement of the IBM 370 by the General Services Administration (GSA) was based on demonstrated need: progressively higher incidence of failure of the principal components (Data Cells) of the IBM 360 computer; increasing workload requiring more powerful processing capability; the requirement to preserve the integrity of the DCII; and the necessity of providing continuing "on demand" service to the Army, Navy, and Air Force investigative agencies (AIRR, USACIDC, NIS, OSI) as well as to a large number of other governmental investigative/security-related organizations (CIA, NSA, DISCO, CSC, FBI, etc.). The equipment

was procured with the provision that it would be replaced at the end of 1978 by an ADP capability acquired through a fully competitive process. The replacement date was extended to November 1980, and then to November 1982, when funding, for DCII-ALPHA Search software development was deferred to the 1982 POM by the DoD Comptroller in February 1980.

Services - The computer performs a number of equally important functions in the operational areas, i.e., processing of information associated with investigative activities such as case handling, management of the index (the DCII), and the processing of National Agency Checks (NACs). It also supports the adjudicative functions of the Army and the Air Force and, on a lesser priority, the administrative and other functional managers of the DIS staff (Personnel and Security, Management and Resources, and Information and Legal Affairs).

a. DCII - The most significant computer service provided to the DIS staff, the investigative agencies of the three military services, and other government agencies is the on-line query capability of the DCII which accounts for approximately 50% of computer system utilization. (Attachment 9). This is an 18-million record automated file of DoD-associated individuals, containing only the requisite personal identifiers (date and place of birth; serial number; Social Security Number; sex) enabling each investigative agency to determine the existence, location, and case number of an investigative file on a subject. Substantive investigative information, i.e., case contents, is not automated. When the existence of an investigative file is indicated by

the DCII response, the requester must then request the appropriate investigative file repository (Army, Navy, Air Force, or DIS) to provide a copy of the dossier. Software capabilities include a name variant search capability to enable the system to respond to a query even though the exact name, spelling and/or other identifying data is not known. The DCII also includes a separate field of information inserted by Army, Air Force, DIA, describing clearance level access authorized the subject in question. The on-line inquiry-retrieval network consists of approximately 39 CRT terminals: 36 in the Washington-Baltimore area, one at Columbus, Ohio (Defense Industrial Security Clearance Office - DISCO), and one at Boyers, Pennsylvania (Office of Personnel Management). The off-line service supports a fairly large number of non-DoD agencies. The DCII contains references not only to personnel security investigations, but also to security level clearances access and to criminal files of all the military service investigative agencies, including DIS.

b. DCCS - The Defense Case Control System (DCCS) is a partially on-line, internal (to DIS only) system whereby all PSI leads and cases are accounted for: case openings, closings, lead assignments, age of leads, location of leads, statistical summaries of trends, case-load for any particular time frame, office of origin, and related data required for planning and management decisions. Currently, the DCCS accounts for PSI cases only; however, the format is such that it can accommodate other types (criminal, counterintelligence) of cases.

c. CICC - The Criminal Investigation Case Control System (CICC) does for the criminal and fraud prevention survey cases what the DCCS does for PSI cases. The DCCS format was such that, with some modification, it has been adapted to the criminal/law enforcement area.

d. NCCS - The National Agency Check Case Control System (NCCS) does for the NACs what the DCCS does for the PSI cases, insofar as DIS internal operations are concerned. Additionally, it prints the Report of NAC (RON) as a computer output in cases where the report contains no derogatory information. This procedure eliminates clerical time required to prepare the final report. A related NAC computer service is the transmission of non-derogatory RONs directly from the DIS computer to the DISCO terminal in Columbus, Ohio. This eliminates approximately six days turnaround time attributed to mail service.

e. JACS - The Joint Adjudication Control System (JACS) is an on-line inquiry and clearance level access file system supporting the centralized adjudication functions of the Army and of the Air Force. Each Department now has four and 1⁴ devices, respectively. Clearance certificates are printed at the terminals, thereby reducing clerical requirements and clearance processing time. DIS support in this area is scheduled to continue to increase. Clearance information will be transmitted via AUTODIN to the Air Force's Military Personnel Center for further dissemination to major commands, numbered Air Forces and unit level organizations.

f. Administrative Management Systems - A listing is provided as Attachment 10.

Relationships - On technical matters, DIS receives direction from and coordinates with the Directorate of Data Automation (DDA) in the Office of the Deputy Assistant Secretary (Management Systems)

OASD(C). On substantive issues, such as type of data to be included in the DCII and Privacy Act impact, the DoD supervising office is the Defense Counterintelligence & Investigative Program Office (DC&IF). On policy-planning matters, the DIS generally deals with the Services directly. On technical production matters, both for internal computer services and for DCII considerations, the Information Systems Unit at Baltimore, MD, works directly with the Services and other DCII customers.

Microform - It was foreseen, at the time DIS became operational in October 1972, that the number of files maintained would eventually number in the millions and, consequently, exceed the storage capacity of the DIS Personnel Investigations Center (PIC), Building 320, Baltimore, MD. In the initial, integrated design of an information handling system for DIS, the Microfiche format was selected as the most versatile microform to interface with the computer and the then-existing telecommunications system. As a result of changing conditions during the years 1972-1975 (manpower, organization, budget, deletion of telecommunications) the configuration of the microfiche system was readjusted to solve the storage problem only. As requesters acquire microform handling capabilities, plans are to distribute Reports of Investigation (ROIs) in microform. As of 31 October 1980, total investigative file holdings amounted to 1,598,000. Of this number, 1,250,000 files are maintained in microform. †

Telecommunications - Due to budgetary restrictions, this system was discontinued in December 1975. Planning was redirected to provide for some mode of communications with the field units in FY 1981 if operational requirement demand it.

Distributed Processing - The planning cited above resulted in the presentation to the Director and staff, in the Spring of 1979, of a concept document outlining two basic approaches: one a telecommunications system (three versions were described), the other a distributed processing system. The latter was selected, with DIS-wide implementation contingent upon the successful outcome of a 6-month pilot effort at Region 22 headquarters in Norfolk, VA. The purpose of the distributed processing system is to improve the Reports of Investigation (ROIs) preparation process by shortening the time for its preparation in the field, accounting for all leads daily, standardizing the final report format, providing daily management statistics to the regional director, facilitating the implementation of the courtesy letter program, and simplifying office correspondence preparation through a word processing capability. The principal feature of the proposed system is the connection of a local (field) terminal (CRT, keyboard, printer, disk storage unit) directly to the DIS computer at Baltimore, rather than through a telecommunications switch. ROIs prepared through the use of special computer programs and conforming to given standards may be transmitted directly to the Baltimore computer, with a copy retained in the local disk storage unit; data for the preparation of the ROI would be forthcoming from the computer nightly. Periodically, the regional

director could query his local terminal, to which statistical information would have been transmitted from the Baltimore computer at regular intervals, to obtain necessary case management statistics. In general, the system is designed to preserve integrity of data, account for leads and cases daily, standardize ROI production, and eventually reduce the amount of resources (manpower) required in the preparation of ROIs, courtesy letters, and office correspondence. The system is still in the pilot test mode and operating very successfully.

Industrial Security Management Information Report. This report contains management data which provides operating officials performance information and data. The information is used to highlight and identify existing and potential problem areas. The Industrial Security Management Information Report will be discontinued in FY 82 and integrated with the Industrial Security Management Information System (ISMIS). This system will be implemented in 10 DIS regions but will initially be set up in three regions. The equipment for each location will consist of two CRTs, one printer, and one control unit. In general, the system is designed to provide more and better information concerning workload, performance, and mission accountability. This system is currently managed by DLA, but the services to DIS are paid for by DIS.

December 1980

LOGISTICS

The centrally directed logistic support for DIS is accomplished by a small staff at DIS headquarters and by personnel assigned to each of the 10 regional headquarters. The major areas of oversight concern office space, Interagency Support Agreements (ISAs), motor vehicles, supply management, and safety.

On 1 October 1980, DIS had 304 units spread throughout the 50 states, District of Columbia and Brussels, Belgium (one industrial security office). The units range in size from the largest (the Personnel Investigations Center (PIC)) with 374 authorized personnel, in Baltimore, MD, to 56 one-person resident agencies, located in the various states.

Headquarters, DIS

Special Investigations Unit

Personnel Investigations Center

Information Systems Unit

Office of Industrial Security, International

Defense Industrial Security Institute

Defense Industrial Security Clearance Office

Regions (10)

Field Offices (103)

Resident Agencies (184)

The selection of field unit location and personnel strength is based primarily on workload distribution. This is primarily dictated by

civilian, DoD contractor and military populations. Cost is another factor considered in locating DIS offices. Space on military installations is utilized when available and is paid for through ISAs with the respective hosts. The next least-cost space available is in the form of General Services Administration (GSA) owned or leased facilities. If neither GSA nor military installation space is available, DIS may occupy commercial office space leased by the Office of the Chief of Engineers (OCE), USA.

At each location where DIS can receive support from other government facilities, an ISA is executed. The agreements, in accordance with DOD Manual 4000.19-M, Defense Retail Interservice Support (DRIS) Manual, include support items, as applicable, mainly involving motor vehicle maintenance, ADP support, printing and reproduction, office space, and office maintenance, and utilities. As of 1 October 1980, DIS had 199 ISAs in effect at an approximate face value of \$685,145 and was negotiating additional ISAs to support some 65 additional locations which were added with the transfer of industrial security functions to DIS from the Defense Logistics Agency (DLA).

The basic nature of personnel investigations work requires personal interviews and records checks at locations throughout the United States. To accomplish this, the requirement is for one motor vehicle per field agent. In most instances, due to the nature of investigative work, the use of public transportation is not practical or economical. The DIS fleet totals 1,070 vehicles. Vehicle replacement is budgeted annually and based on DoD criterion of six years or 72,000 miles as the replacement

rule. DIS has a vehicle rotation program to balance vehicle use and aging as much as economically feasible. For example, in 1980 DIS received 102 new compact sedans to replace aged vehicles. Detailed statistics on the age, condition, operating costs, mileage and vehicle accidents are kept by DIS headquarters. DIS engages in safety and energy conservation programs.

FOR IMMEDIATE RELEASE

NOVEMBER 5, 1971

Office of the White House Press Secretary
-----THE WHITE HOUSE

The White House announced today that the President has directed a number of management steps to improve the efficiency and effectiveness of the U.S. foreign intelligence community.

The President's objectives are to ensure:

- Continuing review of the responsiveness of the U.S. intelligence effort to national needs.
- Strengthened leadership for the community as a whole.
- More efficient use of resources in the collection of intelligence information.
- Elimination of less efficient or outmoded activities.
- Improvement in the quality, scope and timeliness of intelligence information.

The improvements directed by the President follow an exhaustive study conducted at his direction by the staffs of the National Security Council (NSC) and the Office of Management and Budget (OMB) with contributions from the President's Foreign Intelligence Advisory Board (PFIAB), the President's Science Advisor, and the Intelligence Community.

The major management improvements include:

- An enhanced leadership role for the Director of Central Intelligence (DCI) in planning, reviewing, coordinating, and evaluating all intelligence programs and activities, and in the production of national intelligence.
- Establishment of a National Security Council Intelligence Committee, chaired by the Assistant to the President for National Security Affairs. Its members will include the Attorney General, the DCI, the Under Secretary of State, the Deputy Secretary of Defense, and the Chairman of the Joint Chiefs of Staff. The Committee will give direction and guidance on national intelligence needs and provide for a continuing evaluation of intelligence products from the viewpoint of the intelligence user.

- Reconstitution of the United States Intelligence Board , chaired by the DCI, including as members the Deputy Director of Central Intelligence (Vice Chairman); Director of Bureau of Intelligence and Research, State Department; Director of National Security Agency; Director of the Defense Intelligence Agency; representatives of the Secretary of the Treasury and of the Director of the Federal Bureau of Investigation and the Atomic Energy Commission. The Board will advise and assist the DCI with respect to the production of national intelligence, the establishment of national intelligence requirements and priorities, the supervision of the dissemination and security of intelligence material, and the protection of intelligence sources and methods.

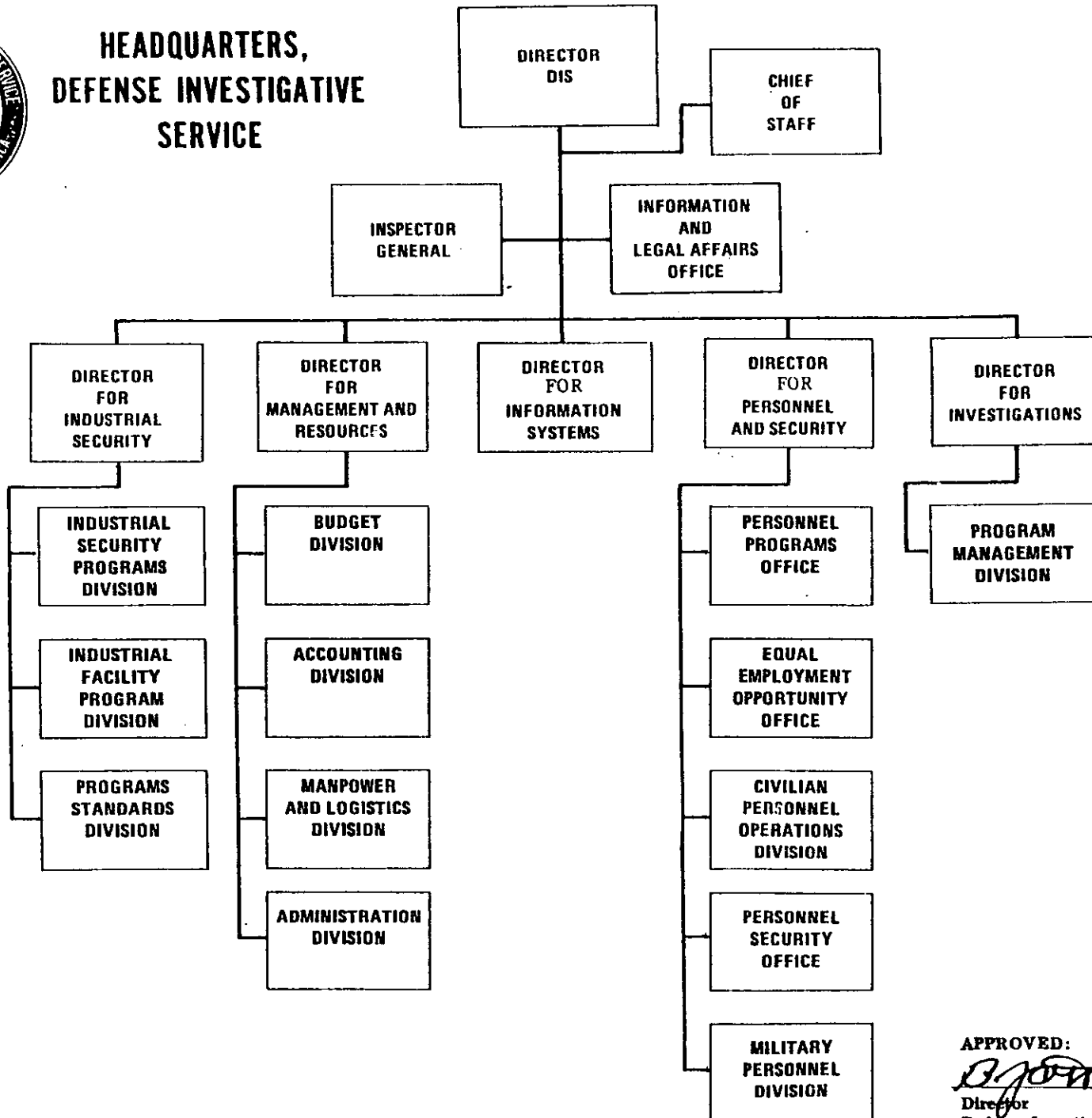
The President has also directed certain changes in the Department of Defense's intelligence organization.

A National Cryptologic Command will be set up under the Director of the National Security Agency. Under this command will be consolidated activities now carried out by separate agencies. A further change is the consolidation of all Department of Defense personnel security investigations into a single Office of Defense Investigations. The President has also directed that a Defense Map Agency be created by combining the now separate mapping, charting and geodetic organizations of the military services in order to achieve maximum efficiency and economy in production.

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HEADQUARTERS, DEFENSE INVESTIGATIVE SERVICE



APPROVED:

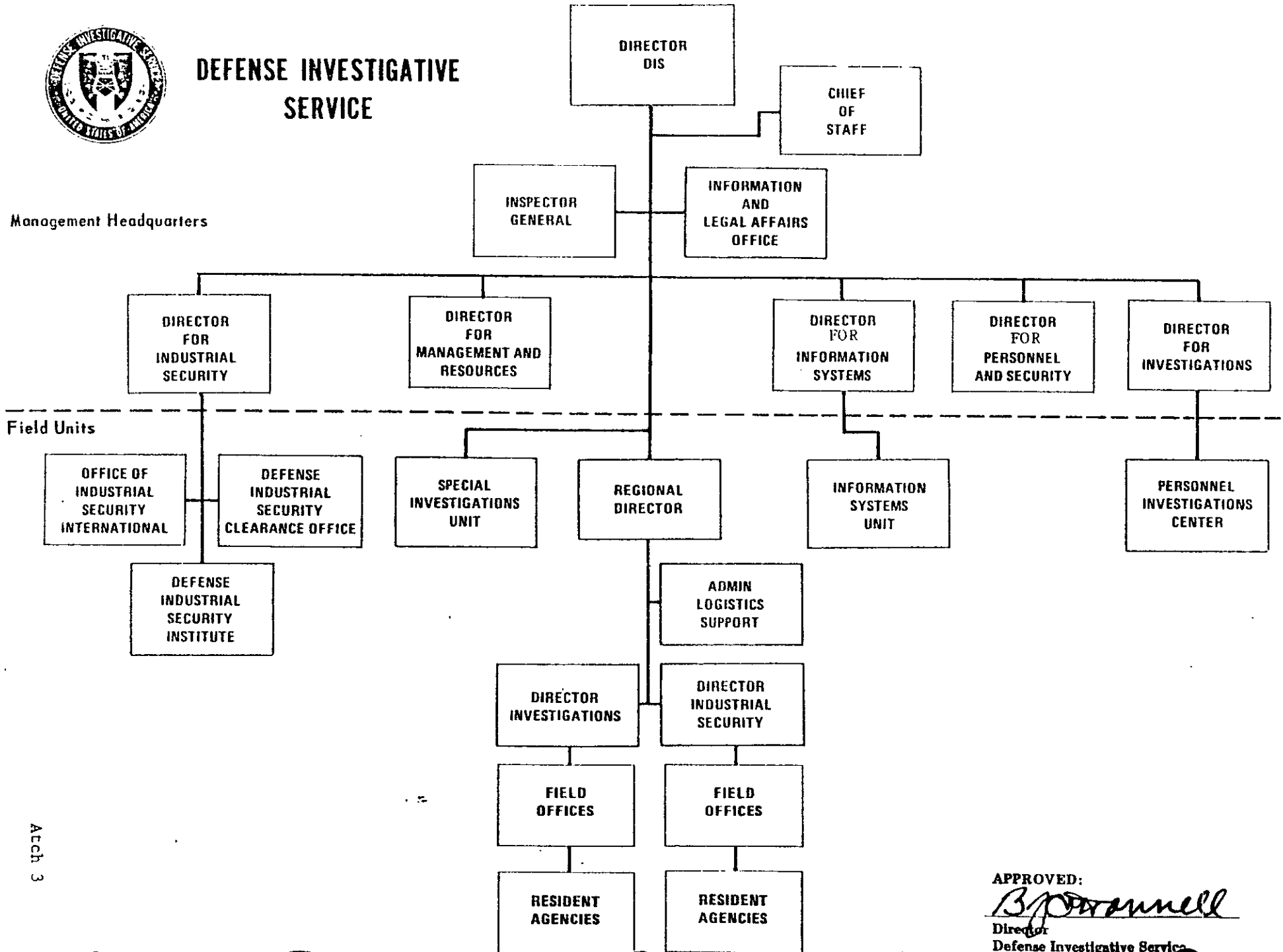
D. J. Johnson

Director
Defense Investigative Service
December 1980



DEFENSE INVESTIGATIVE SERVICE

Management Headquarters



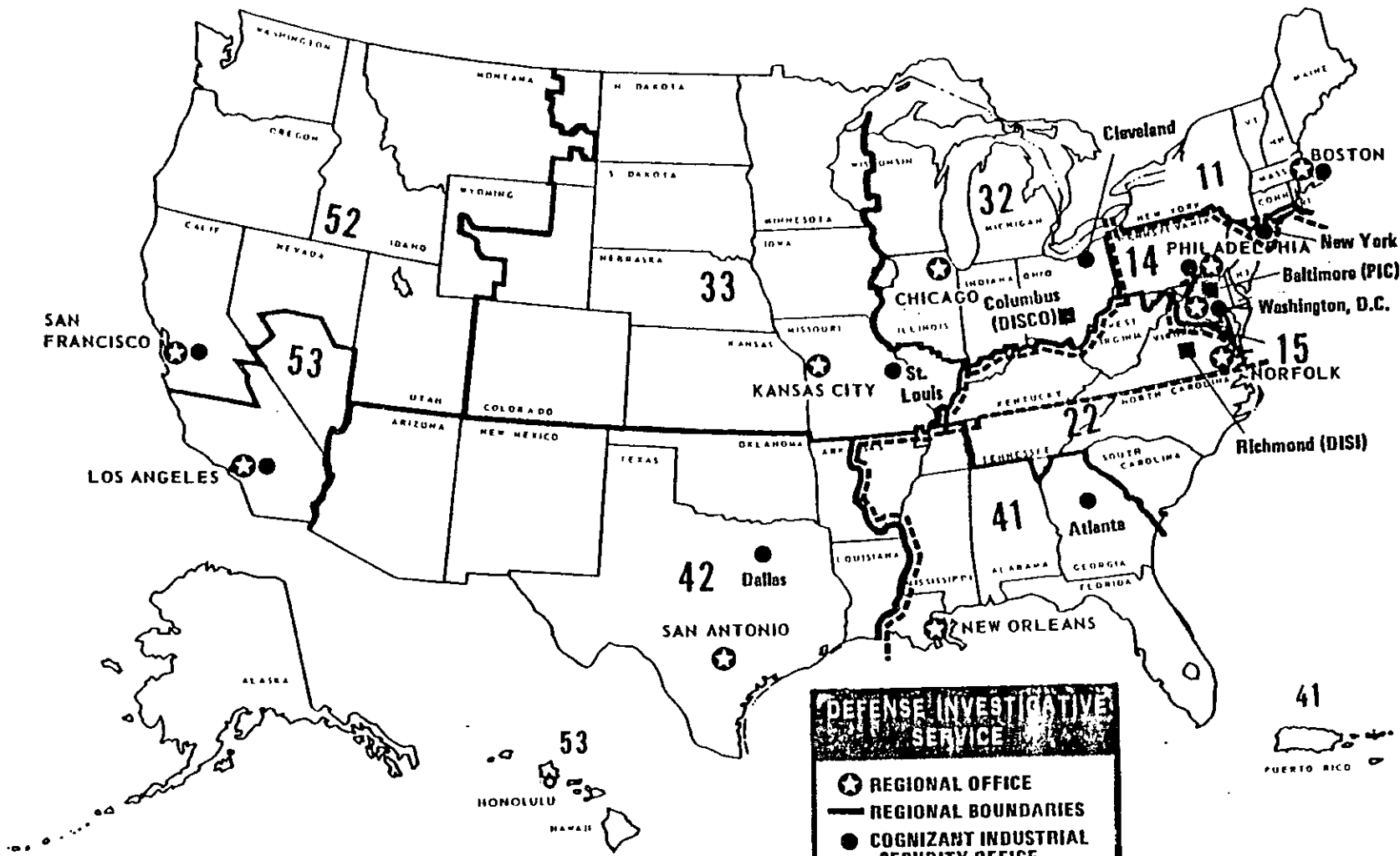
Field Units

Acch 3

APPROVED:

B. J. Drannell

Director
Defense Investigative Service
December 1980



DEFENSE INVESTIGATIVE SERVICE

- ★ REGIONAL OFFICE
- REGIONAL BOUNDARIES
- COGNIZANT INDUSTRIAL SECURITY OFFICE
- NEW YORK, PHILADELPHIA & ATLANTA INDUSTRIAL SECURITY BOUNDARIES
- SUPPORT ACTIVITIES

DIS FIELD ORGANIZATION
(EFF 1 OCT 80)

Atch 4
101



DEFENSE INVESTIGATIVE SERVICE
PERSONNEL INVESTIGATIONS CENTER

OFFICE OF THE DIRECTOR
PERSONNEL INVESTIGATIONS
CENTER

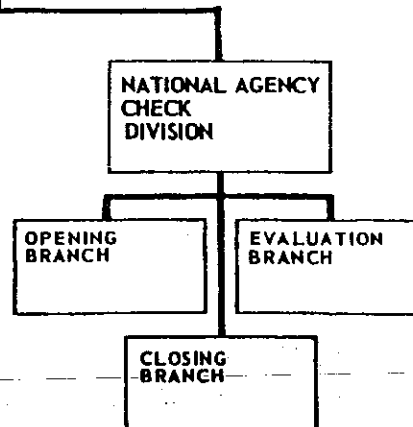
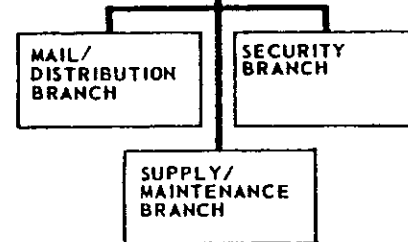
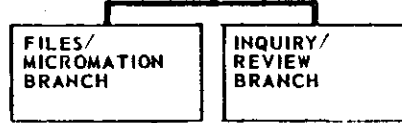
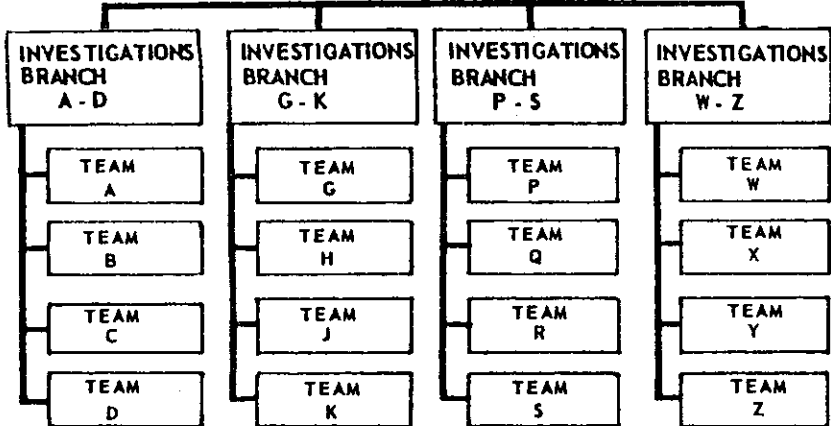
DIRECTOR
DEPUTY DIRECTOR

OPERATIONS
MANAGEMENT
OFFICE

INVESTIGATIONS
DIVISION

INVESTIGATIVE
FILES
DIVISION

SUPPORT
SERVICES
DIVISION



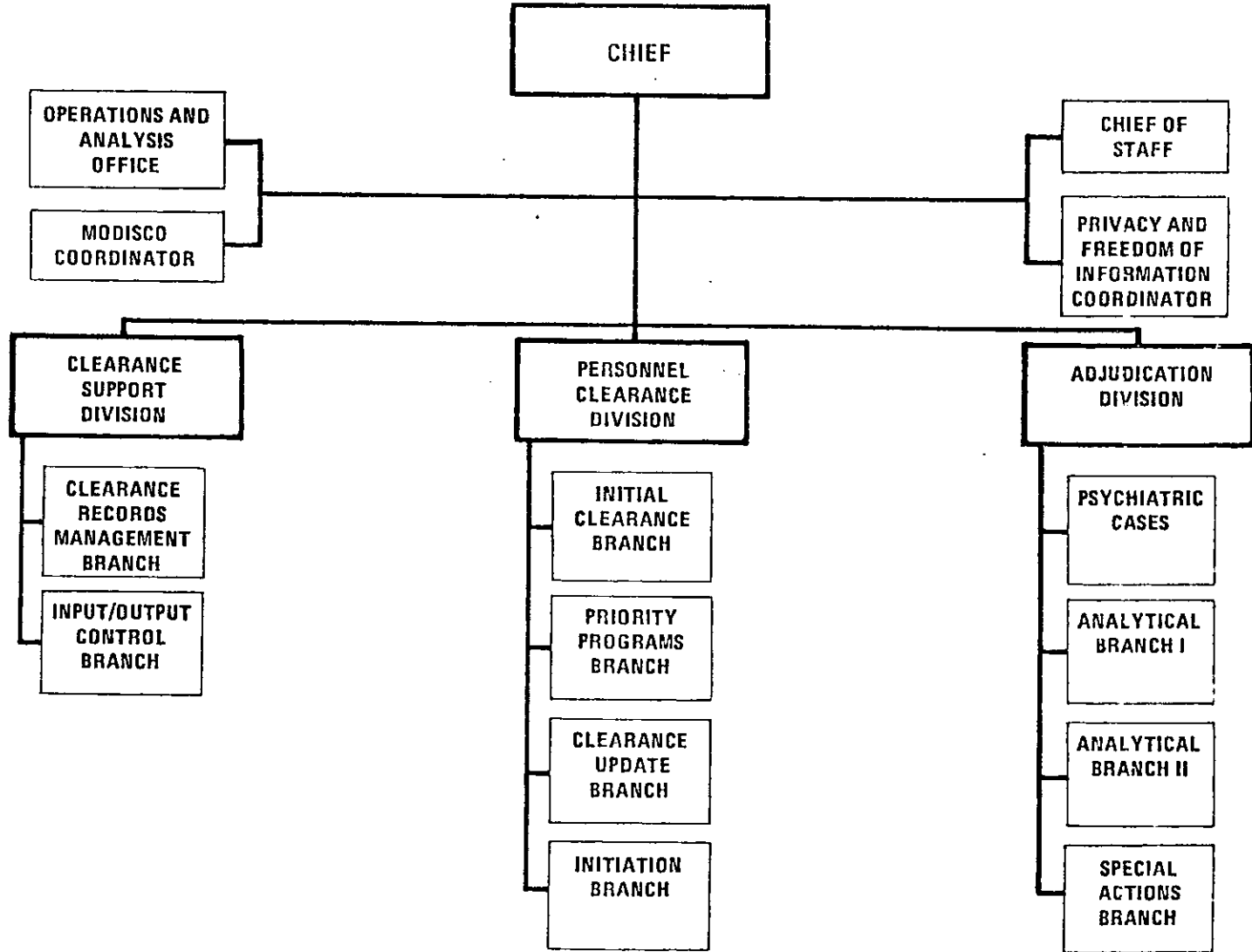
APPROVED:

R. J. [Signature]

Director
Defense Investigative Service
December, 1980



DEFENSE INDUSTRIAL SECURITY CLEARANCE OFFICE



ATCH 6

APPROVED:

B. J. Brown

Director
Defense Investigative Service
December 1980

MEMORANDUM FOR Secretaries of the Military Departments
Chairman of the Joint Chiefs of Staff
Director of Defense Research and Engineering
Assistant Secretaries of Defense
General Counsel
Assistants to the Secretary of Defense
Directors of Defense Agencies

SUBJECT: Establishment of the Defense Investigative Service (DIS)

References: (a) Presidential Memorandum dated November 5, 1971,
subject: "Organization and Management of the U.S.
Foreign Intelligence Community"
(b) SecDef Memorandum of November 10, 1971,
subject: "DoD Organizational Changes"
(c) DoD Directive 5200.26, February 17, 1971,
subject: "Defense Investigative Program"

By reference (a), the President directed establishment of a single office of Defense investigations. In reference (b), I directed the ASD (Comptroller) to develop a plan to accomplish this reorganization.

I have reviewed the plans presented by him and have decided to approve a time-phased course of action creating a Defense Investigative Service (DIS) as a separate Defense Agency reporting directly to the Secretary of Defense. This will be accomplished in three phases:

- On 1 January 1972, the DIS will be established and will function initially as a planning group charged with making necessary arrangements to commence operations on 1 April 1972.
- On 1 April 1972, the case control staff functions of the Military Departments will be consolidated under the DIS, which will assume control of all Personnel Security Investigations (PSI) within the Department of Defense, tasking the Military Department investigative agencies for the field investigative effort. Investigators will remain with the Military Departments. On the same date, the DoD National Agency Check Center (DODNACC) and the Defense Central Index of Investigations (DCI) will be incorporated in the DIS.
- On 1 October 1972, all PSI field investigative resources will be transferred from the Military Departments to the DIS and investigators will be assigned directly

I will appoint a Director of the DIS.

The Assistant Secretary of Defense (Comptroller) will provide policy guidance and staff supervision for the DIS and is delegated responsibility under the provisions of reference (c) to direct, manage, and review the Defense Investigative Program.

Each Military Department will provide as soon as possible to the Director, DIS, five professional and two clerical personnel on a temporary basis to assist the Director in developing organizational structure, program plans, and operating procedures for the DIS. Direct liaison between the Director and appropriate officials designated by the Secretaries of the Military Departments is authorized to effect cross-servicing agreements for the permanent transfer of personnel to the DIS to proceed with the operations of the agency as set forth herein.

The Secretaries of the Military Departments and Director, DIS, through liaison with appropriate Military Departments personnel, jointly, will ensure that effective performance of personnel security investigations continues during the 1 January - 1 April transition period.

In the near future, I intend to appoint a Study Group with a view toward determining whether the DIS functions should be expanded to include counter-intelligence and criminal investigation.

Effective 1 July 1972, the ASD (Comptroller) is assigned Program Manager responsibilities for the Counterintelligence and Investigative activities, ~~now~~ vested in the Director, DIA.

The ASD (Comptroller) will assist the Director, DIS, as necessary, and monitor the progress of implementing actions contained in this memorandum.

BRIEF DESCRIPTION OF INSTITUTE COURSES

Industrial Security Basic Course: A one-week course available to U.S. government personnel desiring an orientation in the Defense Industrial Security Program (DISP). No security clearance required.

Industrial Security Specialist Course: A six-week course for U.S. government personnel who require training to perform as staff specialists or as industrial security representatives at cognizant security office level. Secret security clearance required.

Industrial Security Career Course: A one-week course for U.S. government industrial security personnel who have been in the DISP for three to five years. Secret security clearance required.

Industrial Security Management Course: A one-week course for civilian personnel employed by contractors who have been issued a facilities clearance under the DISP. Also offered as a field extension. No security clearance required.

Industrial Security Executive Seminar: A one-week course offered for executive level industry and U.S. government personnel involved with the DISP. Held even-numbered years. Attendance is by invitation only. Secret security clearance required.

Industrial Facilities Protection Course: A one-week course for personnel of industrial facilities participating in the Defense Industrial Facilities Protection Program (DIFPP) or personnel of industry and governmental agencies whose duties include national emergency, mobilization, or disaster planning. Also offered as a field extension. No security clearance required.

Industrial Facilities Protection Executive Seminar: A one-week course designated to provide executive level personnel of government and industry who are engaged in the DIFPP a forum for the exchange of ideas and experiences culminating in recommendations for improving the program. Held in odd-numbered years. Attendance is by invitation only. No security clearance required.

Information Security Management Course: A two-week course for U.S. government and industry personnel involved in the administration and safeguarding of classified material. Industry personnel attend the second week only. Also offered as a three-day orientation (field extension). No security clearance required.

International Industrial Security Orientation Conference: A one-week course offered every two years for representatives of selected foreign governments. Attendance is by invitation only.

DEFENSE CENTRAL INDEX OF INVESTIGATIONS (DCII)

- File size is 18-million records
- 39 on-line terminals access the system
- In addition to DoD, the following non-DoD agencies/offices are authorized access:

Executive Office of the President
Action
Agency for International Development
Central Intelligence Agency
Environmental Protection Agency
Federal Emergency Management Agency
International Communication Agency
Bureau of Engraving and Printing
Government Printing Office
Department of Agriculture
Department of Commerce
Department of Education
Department of Energy
Department of Health and Human Resources
Department of Housing and Urban Development
Department of Interior
Department of Justice
Department of Labor
Department of State
Department of Transportation
Department of Treasury
Drug Enforcement Administration
Federal Bureau of Investigation
Federal Communication Commission
Federal Highway Administration
Federal Trade Commission
General Services Administration
Geological Survey National Center
Goddard Space Flight Center
National Aeronautics and Space Administration
Immigration and Naturalization Service
Internal Revenue Service
National Park Service
U.S. Customs Service
U.S. Postal Service
U.S. Secret Service
Library of Congress
National Labor Relations Board
Nuclear Regulatory Commission
Office of Management and Budget
Office of Personnel Management
Securities and Exchange Commission
Small Business Administration

Social Security Administration
Veteran Administration
Export - Import Bank of U.S.
U.S. Arms Control and Disarmament Agency
U.S. Coast Guard
U.S. General Accounting Office
U.S. International Trade Commission

ADMINISTRATIVE MANAGEMENT SYSTEMS

Civilian Personnel Management Information Systems

Table of Distribution Systems

DCII Disclosure Accounting System

Tape Library System

Military Personnel Management System

Operator Analysis Reporting System

Logistics Management Information System

Job Accounting Report System

Workload/Manhour Reporting System

Automated Scoping Guide System

*Army Drug Reporting System

*Criminal Research and Statistical System

*Army Case Control System

**Joint Adjudication Clearance System

***Mechanization of Contract Administration Services

*User of reports generated from these systems is the Crime Records Directorate, USACIDC. All other systems listed above generate reports used by DIS staff.

**User of reports generated by this system include all Military Services.

***Managed by DLA but services are funded by DIS.

DEFENSE MAPPING AGENCY

The attached documents were provided to the Carter-Reagen Transition team by the Defense Mapping Agency. No documents have been withheld.



ORGANIZATION

BRIEFING

BOOK

December
1980

The Defense Mapping Agency

U.S. Naval Observatory, Bldg. 56, 34th & Mass. Avenues, N.W.,
Washington, D.C. 20305

1 do
Encl 1

SECTION I

ORGANIZATIONAL STRUCTURE, FUNCTIONS AND PERSONNEL

THE DEFENSE MAPPING AGENCY (DMA)

A. An Introduction

The Agency was established in 1972 to provide mapping, charting, and geodetic (MC&G) support to the Armed Forces and all other national security operations. DMA also serves the needs of the U.S. Merchant Marine worldwide and of navigators generally on the high seas.

The approximately 8,500 people of the Agency are situated in forty locations around the world. They provide a wide variety of maps and charts and information about the size and shape of the earth needed for aerospace and ocean navigation and for the tactical and strategic operations of the Armed Forces. DMA has cooperative mapping agreements with more than fifty nations for the mutual exchange of MC&G information.

More than half of DMA's production is other than conventionally printed maps and charts, including products on film and magnetic tape for use in specialized machine-reading equipment. DMA materials are used extensively in support of the Nation's weapon systems, aerospace and ocean navigation trainers and for experimental purposes in deriving new items to satisfy valid MC&G needs. Scientific data and information affecting the safe passage of vessels and aircraft throughout the Free World are exchanged with the civil community and countries with navigational interests.

B. Organizational Structure

DMA is a separate DoD agency under the direction, authority, and control of the Under Secretary of Defense for Research and Engineering. The Director of DMA is responsible to the Joint Chiefs of Staff (JCS) for operational

matters within their cognizance, as well as requirements associated with the joint planning process. The Chairman of JCS is authorized to task and communicate directly with DMA.

The Director of DMA is program manager and coordinator of all DoD MC&G resources, including Army and Marine topographic units and Navy hydrographic survey resources not assigned to DMA. Under the 1972 charter establishing DMA, the Director is also responsible for managing MC&G research, development, test and evaluation for the Department of Defense.

DMA maintains close alliance with civilian agencies in the U.S. Government engaged in MC&G activities, and works closely with various national and international scientific and operational organizations in the MC&G field.

The Agency is organized into a Headquarters and five components. The Headquarters is at the U.S. Naval Observatory, Washington, D.C. The five components consist of two production centers, a distribution office, a school, and a special component, the Inter American Geodetic Survey.

The Aerospace Center (DMAAC) with headquarters in St. Louis, Missouri, has about 3,700 people charged with the responsibility for products and services for aerospace weapon systems and flight navigation.

The 3,900 people of the Hydrographic/Topographic Center (DMAHTC) with headquarters at Brookmont, Maryland, are primarily concerned with products and services that support land combat and naval weapon systems. The Center also carries out statutory responsibilities for providing nautical products to mariners in general.

The Office of Distribution Services (ODS) at Brookmont, Maryland, and 12 other facilities, including two large distribution centers, provide DMA products to users. This distribution function employs approximately 400 people, who are organized to move quickly into shift operation for crisis deliveries night or day. Some DMA products are also available to the public through authorized sales agents and the National Ocean Survey.

DMA operates the Defense Mapping School (DMS) at Fort Belvoir, Virginia, with approximately 190 civilian and military personnel. The school provides technical training to members of the Military Services in MC&G-related skills.

DMA's Inter American Geodetic Survey (IAGS), headquartered at Fort Sam Houston in San Antonio, Texas, is responsible for a cooperative mapping and charting program conducted jointly with the national mapping agencies in Latin America. IAGS operates a cartographic school in the Panama Canal area to assist Latin American cartographic agencies in the training of their production personnel. IAGS has about 100 people working throughout Central and South America. Through this program many DoD MC&G products are provided at a fraction of the cost that would otherwise be incurred for DMA to produce. Such programs also enhance the national security of the participating Latin American countries.

C. Functions

DMA's mission is to provide the Armed Forces the maps, charts, and geodetic products, data, and services essential to military operations and planning, including safe and accurate land, sea, and air navigation. Products, such as digital topographic data, are becoming an integral part of strategic and tactical weapons systems and are vital to their effectiveness. In fact, accurate, current, and timely DMA products are needed for every conceivable type of military operation. The soldier and marine depend upon DMA topographic

maps and combat charts; air crews depend upon DMA aerial navigation charts and flight information publications; naval forces depend upon DMA nautical charts and navigational publications. Weapon Systems depend upon DMA's precise positioning of launch and target points, modeling of gravity effects on missiles, and development of accurate terrain elevation and vertical obstruction data. DMA also has a statutory responsibility to support the civil maritime community with up-to-date and adequate navigational materials. DMA's major functions can be summarized as follows:

1. Advise the Secretary of Defense and the Joint Chiefs of Staff on MC&G matters.
2. Manage the DMA and non-DMA/DoD/MC&G resources.
3. Collect MC&G data worldwide.
4. Produce and distribute maps, charts, and related data worldwide.
5. Maintain the Department of Defense libraries of MC&G data.
6. Advise DoD research and development agencies on the need for MC&G basic research and exploratory development.
7. Conduct MC&G research and development programs in advanced and engineering development phases.

D. Personnel

A summary of manpower and strengths and man-years for DMA is as follows:

1. End Strength:

	<u>1980</u>	<u>1981</u>	<u>1982</u>
Military	444	444	444
Civilian	<u>8,039</u>	<u>8,130</u>	<u>8,244</u>
TOTAL	8,483	8,574	8,688

2. Man-Years:

Military	444	444	444
Civilian	<u>8,017</u>	<u>8,227</u>	<u>8,338</u>
TOTAL	8,461	8,671	8,782

Manpower Authorizations for FY 1981 are Provided by

DMA Component and Geographical Location

<u>Component/Location</u>	FY 1981		<u>Total</u>
	<u>Military</u>	<u>Civilian</u>	
<u>HQ DMA</u>			
Washington, D.C.	36	152	188
Los Angeles, California	1	--	1
TOTAL	37	152	189
<u>DMAAC</u>			
St. Louis, Missouri	44	3,427	3,471
London, England	--	1	1
Jakarta, Indonesia	--	1	1
Houston, Texas	--	2	2
Washington, D.C.	--	5	5
Wright Patterson AFB, Ohio	1	--	1
Quincy, Illinois	--	1	1
Los Angeles, California	--	1	1
Kansas City, Missouri	1	196	197
TOTAL	46	3,634	3,680
<u>DMAHTC</u>			
Brookmont, Maryland	50	2,841	2,891
Feltham, England	1	--	1
Canberra, Australia	1	--	1
Bay St. Louis, Mississippi	1	--	1
Dakar, Senegal	--	1	1
Tokyo, Japan	--	2	2
New Orleans, Louisiana	--	1	1
New York, New York	--	1	1
Omaha, Nebraska	--	5	5
El Segundo, California	--	1	1
Louisville, Kentucky	1	257	258
Providence, Rhode Island	1	271	272
San Antonio, Texas	1	239	240
F. E. Warren AFB, Wyoming	82	76	158
Vandenberg AFB, California	12	4	16
White Sands, New Mexico	2	40	42
Patrick AFB, Florida	5	5	10
TOTAL	157	3,744	3,901
<u>DMS</u>			
Ft. Belvoir, Virginia	128	68	196
<u>IAGS</u>			
San Antonio, Texas	7	59	66
Panama	2	44	46
Other Latin American Countries	2	36	38
TOTAL	11	139	150

FY 1981 Manpower Authorizations by Geographic Location
(Continued)

<u>Component/Location</u>	<u>FY 1981</u>		<u>Total</u>
	<u>Military</u>	<u>Civilian</u>	
<u>DMAODS</u>			
Brookmont, Maryland	6	185	191
Clearfield, Utah	--	74	74
Philadelphia, Pennsylvania	--	98	98
Mainz-Kastel, Germany	16	5	21
Molesworth, England	3	--	3
Naples, Italy	4	--	4
Norfolk, Virginia	5	2	7
Jacksonville, Florida	1	3	4
San Diego, California	4	2	6
Hickam AFB, Hawaii	8	21	29
Cubi Point, Philippines	7	--	7
Atsugi, Japan	7	--	7
Panama	4	3	7
TOTAL	<u>65</u>	<u>393</u>	<u>458</u>
<u>SUMMARY</u>			
HQ DMA	37	152	189
DMAAC	46	3,634	3,680
DMAHTC	157	3,744	3,901
DMS	128	68	196
IAGS	11	139	150
DMAODS	<u>65</u>	<u>393</u>	<u>458</u>
TOTAL	<u>444</u>	<u>8,130</u>	<u>8,574</u>

SECTION II

IMMEDIATE MAJOR ISSUES

DMA has no major issues that must be faced by the new administration immediately or soon after 20 January 1981.

SECTION III

PROGRAM SUMMARIES

TAB A Budget
TAB B Support to Major Weapon Systems
TAB C Cruise Missile
TAB D RDJTF
TAB E PERSHING II
TAB F MX
TAB G Terrain Analysis
TAB H FIREFINDER
TAB I Crisis Support
TAB J International Agreements
TAB K Research and Development

TAB A

BUDGET

In the aggregate for O&M, Procurement, RDT&E, and Military Construction, DMA has requested \$369 million for fiscal year 1982. This is an increase of \$25 million over the fiscal year 1981 request of \$344 million. Of the increase, approximately \$11 million is for statutory pay increases and inflation. The remaining \$14 million reflects net program growth to improve military force readiness; support the special requirements of the Rapid Deployment Force; enable DMA to accomplish currently approved production programs in support of such weapon systems as the Cruise Missile, FIREFINDER, and Pershing II; and provide Terrain Analysis data to operational commanders. Provision is also made for the production of digital data needed by mission planners to construct optimum flight routes for air space penetration to target areas and to support training for air crews in flight simulators. In addition, the increase supports the initiation of research and development efforts required to meet the accuracy goal for the MX missile system. An appropriation summary follows.

<u>FUNDING</u> (Dollars in Millions)	<u>FY 1980</u>	<u>FY 1981</u>	<u>FY 1982</u>
Appropriation:			
Operation and Maintenance	\$ 267	\$ 297	\$ 323
Procurement	18	25	9
RDT&E	20	20	26
Military Construction	<u>1</u>	<u>2</u>	<u>11</u>
TOTAL	\$ 306	\$ 344	\$ 369

TAB B

SUPPORT TO MAJOR WEAPON SYSTEMS

The following chart reflects the type of support DMA is providing to major weapon systems.

	<u>PRECISE POSITIONS</u>	<u>DIGITIZED TERRAIN</u>	<u>DIGITIZED CULTURE</u>	<u>MAPS/CHARTS</u>
MINUTEMAN	X			X
POSEIDON/TRIDENT	X			X
Cruise Missile	X	X		X
SRAM	X			X
PERSHING	X	X	X	X
F-111	X	X	X	X
A-6	X	X	X	X
E-2C	X	X	X	X
EA-6B	X	X	X	X
B-52	X	X	X	X
C-130	X	X	X	X
F-16	X	X	X	X
FIREFINDER	X	X		X
AWACS		X		
LORAN	X	X		X
Ground Radar	X	X		X

TAB C

CRUISE MISSILE

We are on schedule with production of the two basic types of digital data for the cruise missile. The first of these, the Digital Terrain Elevation Data (DTED), will be used for missile route penetration planning to the target. The second type, Terrain Contour Matching (TERCOM) data, is similar to DTED but much more detailed for use in missile guidance. TERCOM is produced for selected areas and is used in the missile's on-board computer to update the inertial guidance system to assure accurate penetration to the target. The Vertical Obstruction Data (VOD) portion of support to the Cruise Missile Program is needed for low level penetration of air defenses. This effort is in the development phase. We have completed hiring and training the 160 employees authorized by the Congress for the task. VO data are being produced to support tests and analyses by the Joint Cruise Missile Project Office and the Joint Strategic Target Planning Staff that will better define DMA capabilities, VOD product specifications and area requirements. Regular production of VOD will commence in April 1981.

RAPID DEPLOYMENT JOINT TASK FORCE (RDJTF)

Since the organization of the Rapid Deployment Joint Task Force, extensive mapping and charting shortfalls were recognized in the RDJTF areas of interest. DMA has the responsibility to provide support to all U.S. military organizations, thus it has the responsibility to support the RDJTF with map and chart products. DMA, with special provision of resources from OSD, is already providing the RDJTF with maps of various scales, aeronautical and nautical charts, and other items. The entire RDJTF map and chart requirement is programmed and scheduled to be satisfied by 1986. The FY 81 budget request provides DMA additional resources, including 150 civilian positions, to produce those MC&G products urgently required to support RDJTF objectives.

TAB E

PERSHING II

The PERSHING II (P-II) missile will feature a radar terminal guidance capability. A digital pregenerated radar scene of the target area will be correlated with the actual scene produced by the missile's radar to determine the missile's location. This information is used by the guidance system to correct the vehicle trajectory in its terminal phase and guide the missile to the target with a high degree of accuracy. DMA will generate reference scenes for preplanned targets using the PERSHING II Reference Scene System (PRESS). Reference scenes for non-preplanned targets will be generated in the field by the Reference Scene Generation Facility (RSGP) using Operational Data Bases (ODB's) produced by DMA.

DMA will support the PERSHING II system in both the Test and Evaluation (T&E) and operational phase. Support in the T&E phase will consist of the following:

1. Experimental reference scenes and ODB for laboratory testing, captive flight tests, and live missile flights.
2. Surveying support for the Huntsville Test Area, North Carolina Test Area, North East Test Area, and White Sands Missile Range.
3. Associated Mapping, Charting and Geodesy (MC&G) products and services as identified by the PERSHING II Project Management Office.

Support in the operational phase will consist of supplying reference scenes for preplanned targets, operational data bases for the entire PERSHING II operational area, and point positioning data bases for the precise location of non-preplanned targets.

MX

The Missile-X (MX), currently to be deployed in CY 86 in the Nevada-Utah-Arizona area, will require DMA to provide geodetic and gravity survey support, Earth Gravity Model (EGM) development, Launch Region Gravity Model (LRGM) development and improved target positioning.

A preliminary assessment of MX survey requirements has been made. Geodesy and Geophysics (G&G) accuracy/trade-off studies have been completed and a preliminary DMA MX G&G Support Plan is in development. DMA's MX support has included assistance in launch areas and site determination studies, and improved techniques for geodetic and geophysical measurement.

Current support of MX includes gravity surveys for site validation/selection and preliminary gravity field modeling. DMA is currently programming to provide the necessary support consistent with the currently postulated accuracy requirements and system availability schedule.

TAB G

TERRAIN ANALYSIS

The DMA FY 81 budget request includes resources approved by the Secretary of Defense to transfer total responsibility for production of terrain analysis data from the Defense Intelligence Agency to DMA. The resources will enable DMA to support the battlefield commander with both a comprehensive thematic data base showing soils, vegetation, inland hydrography, and surface materials and standard terrain analysis products associated with mobility and visibility on the battlefield.

FIREFINDER

FIREFINDER is an Army-developed system consisting of artillery and mortar locating radars designed to detect the trajectories of multiple incoming artillery and mortar rounds and, in near real time, accurately determine the location of the weapons that are firing. These locations, then, are processed for immediate counterfire, as appropriate. The Army will deploy both radar systems while the Marine Corps will use the shorter range mortar locating radar alone. The Army has programmed approximately one billion dollars for RDTE and procurement for the system.

DMA's MC&G support to FIREFINDER consists of digitized terrain elevation data (DTED) used by the radar's computer to determine the precise location of the weapon being fired. The use of digital data eliminates human error and significantly speeds up the weapon location process. The total cost of DMA support in FY 82-86 will be approximately 15 million dollars and 400 man-years of effort.

TAB I

CRISIS SUPPORT

During the past year, DMA has prepared and provided emergency MC&G products to support DoD elements dealing with crisis situations. Past responses have been completed in time frames of two (2) hours to thirty (30) days as dictated by the urgency of the crisis. DMA support to the hostage situation in Iran was the most intensive and prolonged of any such situation in recent history.

Listed below are samples of crisis support requests received and serviced by DMA over the past year:

- Iran - Joint Chief of Staff (JCS)
- National Military Intelligence Center (NMIC)
- Military Airlift Command (MAC)
- European Command (EUCOM)

- Nicaragua - National Military Intelligence Center (NMIC)
- Readiness Command (REDCOM)
- Southern Command (SOUTHCOM)

- El Salvador - National Military Intelligence Center (NMIC)
- Southern Command (SOUTHCOM)

INTERNATIONAL AGREEMENTS

Defense Mapping Agency has exchange agreements, cooperative agreements, exchanges under the International Hydrographic Organization, and/or facsimile reproduction exchange agreements with 78 countries.

The term Exchange Agreement, as used by DoD, implies an exchange of information and maps or charts. Usually, a small number of maps or charts are exchanged gratis. Other maps, charts and publication materials are exchanged, most often on a quid-pro-quo or reimbursement basis. It may include sharing of MC&G production programs.

The term Cooperative Agreement is used to further define DoD/DMA MC&G agreements and implies mutual programming, sharing of work and end products, establishing U.S. MC&G operations in the host country, and, usually, common use of products by the U.S. and the country concerned. Upon cessation of cooperative terms, map exchange items usually continue.

Nautical charts of many foreign countries are obtained by the Defense Mapping Agency through agreements established under the sponsorship of the International Hydrographic Organization (IHO), in Monaco. In addition, facsimile reproduction exchange agreements are maintained with a number of countries, including some members and non-members of the IHO.

DMA has been invited by the People's Republic of China (PRC) to send a delegation to visit several PRC mapping institutions. A three-man delegation from DMA will be hosted by the PRC National Bureau of Surveying and Mapping (NBSM) on a 10-day visit in December 1980, including the Guangdong Provincial

Bureau of Surveying and Mapping, the Wuhan College of Geodesy, Photogrammetry and Cartography, and the NBSM Center in Beijing. One purpose of the visit is to discuss areas for possible cooperation in the exchange of mapping, charting and geodetic products.

TAB K

RESEARCH AND DEVELOPMENT

Our R&D objectives are to improve DMA's capability to collect essential data, to fully exploit available and new source materials, to improve product accuracies, to decrease response time for MC&G support, and to continue automating many of our labor intensive production processes. The R&D program is structured to achieve a balanced effort toward meeting these objectives with emphasis on exploiting technological developments in areas of potential high payoff. Total funding remains relatively level between fiscal years 1980 and 1981. A major driver in the R&D program is the development of ground and satellite receivers that use GPS for accurate and rapid DMA point position surveys and satellite positioning. DMA's products are becoming a more significant and integral part of emerging advanced weapons systems. To meet these new technological requirements and need dates, a major R&D thrust is the development of digital technologies for timely exploitation of source material.

17 DEC 1980

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MEMORANDUM FOR DEPUTY ASSISTANT SECRETARY OF DEFENSE (ADMINISTRATION)

SUBJECT: Request for Information

Reference: Your memorandum dated November 25, 1980, subject as above.

Attached at Enclosures 1 and 2 is the information requested in your memorandum. Enclosure 1 addresses personnel data requested in paragraphs 4 thru 7, Tab A, your memorandum. Enclosure 2 addresses data also requested in Tab A under paragraphs 3, 5, 8, and 9 in the budget, program, and general information categories.

FOR THE DIRECTOR:

2 Enclosures a/s

cc:
USDRE

SIGNED

CLARK T. LEHMANN
Colonel, USA
Chief of Staff

FOR FILING TO:

Encl 2

PERSONNEL¹

Items 1, 2, and 3. Information to be provided by the OSD Staff.

Item 4. No SES personnel have been hired since 1 November 1980. DMA anticipates hiring two SES personnel prior to 21 January 1981. The proposed selections have been approved by OSD and are awaiting approval of managerial qualifications by OPM. The proposed SES selections are: William P. Durbin, to be Assistant Deputy Director for Plans and Requirements, Headquarters DMA, Washington, D.C. and Thomas O. Seppelin, to be Deputy Director for Programs, Production and Operations, DMA Aerospace Center, St. Louis, Missouri.

Item 5. HQ DMA has not hired any experts or consultants since 1 November 1980 and does not anticipate hiring any prior to 21 January 1981.

Item 6. HQ DMA has no contract identified as consulting services in Budget Exhibit PB-21.

Item 7. Following is the on-board strength data requested for HQ DMA:

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>	<u>Position Vacancies</u>
MIT	35	38	32	36	1
Civ (FTP)	<u>137</u>	<u>139</u>	<u>131</u>	<u>140</u>	<u>6</u>
Total	172	177	163	176	7

Items 8 and 9. Information to be provided by the OSD Staff.

1
BUDGET, PROGRAM & GENERAL INFORMATION

Items 1 and 2. Information will be provided by the OSD Staff.

Item 3. The budget information requested for DMA is listed below:

<u>Funding</u>	<u>FY1980</u>	(\$ in Thousands)	<u>FY1981</u>
O&M			
Civilian Personnel	\$195,069		\$216,023
Travel	3,360		4,275
Transportation of Things	3,163		3,143
Utilities and Rents	10,203		11,269
Communications	4,724		5,035
Purchased Equipment Maintenance	2,348		3,590
Printing and Reproduction	5,721		7,303
Other Purchased Services	28,197		30,343
Supplies	12,720		15,514
Equipment	744		850
TOTAL	\$266,249		\$297,345
Procurement	18,479		25,324
R&D	20,012		20,172
Mil Con	825		1,500
Family Housing	37		28
	\$305,602		\$344,369

NOTE: The data shown above is the FY80 and FY81 columns of the FY 1982 Basic Budget Request except for the FY 1980 O&M and Family Housing data which reflects actual obligations.

Item 4. Information will be provided by the OSD Staff.

Item 5. DMA is not involved in establishing rules or similar regulatory type actions.

Item 6 and 7. Information will be provided by the OSD Staff.

Item 8. DMA has not issued any environmental impact statements in either draft or final form since 1 November 1980 and does not expect to issue any prior to 30 June 1981.

Item 9. None.

Item 10 and 11. Information will be provided by the OSD Staff.

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Numbered responses keyed to the paragraph number in the report.

CONCURRENCES

DD

DM

8 January 1981

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MEMORANDUM FOR DEPUTY ASSISTANT SECRETARY OF DEFENSE (ADMINISTRATION)

SUBJECT: Request for Information

- References:
- a. DASD(A) memorandum dated November 25, 1980, subject as above.
 - b. DMA memorandum dated 17 December 1980, subject as above.
 - c. Telephone conversation of 6 January 1981 between John Wilson, ODASD(A), and Colonel Lehmann, DMA.

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Referenced telephone conversation (reference c.) requested further information from DMA regarding the number of employees in Headquarters, DMA. This information was provided in reference b., but did not break down the assigned personnel by office/directorate, as this information is not available for prior years. Since the number of assigned personnel is very close to our authorized levels, attached is the manpower authorization for the last four fiscal years by office/directorate. Position vacancies as of 31 December 1980 are also provided to permit easy transition from authorized strength to on-board strength for FY 80. These differences are representative of prior years.

FOR THE DIRECTOR:

1 Enclosure a/s

CLARK T. LERMANN
Colonel, USA
Chief of Staff

cc:
OUSDRE (ATTN: LTC Hollander)

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HQ DMA
Manpower Authorized*

<u>Organization</u>	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>	<u>Position Vacancies</u>
Director's Office					
Military	4	4	4	3	-
Civilian	4	4	4	5	-
Chief of Staff					
Military	5	5	5	7	-
Civilian	26	26	26	25	1
Comptroller's Office					
Military	1	1	1	1	-
Civilian	24	24	24	24	-
Personnel Office					
Military	2	2	1	1	-
Civilian	13	13	13	13	1
Programs, Production & Operations Directorate					
Military	10	10	9	9	1
Civilian	42	42	41	41	2
Plans & Requirements Directorate					
Military	12	12	12	12	-
Civilian	16	16	16	16	1
Systems & Techniques Directorate					
Military	5	5	5	5	-
Civilian	16	16	21	21	-
TOTAL HQ DMA					
Military	39	39	37	38	1
Civilian	141	141	145	145	5

*On-board data is not available for past years by organization within HQ DMA;
hence, the authorized strength is provided.

23 December 1980

GC

MEMORANDUM FOR DEPUTY GENERAL COUNSEL, DEPARTMENT OF DEFENSE

SUBJECT: Synopsis and Status of Significant Litigation Pending in the
Defense Mapping Agency

1. In reference to your letter of 15 December 1980, enclosed please find a listing of significant lawsuits which this Agency is currently involved in and a brief chronology and synopsis of the issues involved in each.
2. Should you desire additional information regarding any of these matters, please feel free to call me at 254-4431.

FOR THE DIRECTOR:

SIGNED

Enclosures a/s

EDWARD J. OSLOY
General Counsel

DEFENSE MAPPING AGENCY
OFFICE OF GENERAL COUNSEL

SYNOPSIS AND STATUS OF SIGNIFICANT LITIGATION

George H. Lee v. General Nicholson, C.A. No. 80-1048
(D.D.C. April 25, 1980).

Title VII case. Litigation report filed 13 June 1980. Status call held 17 November 1980. Discovery has been extended to 1 March 1981 and another status call has been set for February 1981. Answers to plaintiff's interrogatories filed, defendant presently preparing interrogatories for plaintiff.

SS MAYAGUEZ - Seamen's injuries, May 12, 1975
Alfred J. Rappenecker, et al. v. USA, N.D. Cal.
Civil Nos. 76-298 WWS; 76-422 WWS; 77-565 WWS; 77-939 WWS

These are actions by former crewmen of the SS MAYAGUEZ against the United States under the Suits in Admiralty Act. Plaintiffs are seeking damages for personal injuries allegedly suffered during United States military operations in response to the seizure of the MAYAGUEZ by Cambodian gunboats on May 12, 1975. Plaintiffs are advancing two theories of liability against the Government: (1) negligence in undertaking and executing the military operation and (2) breach of a duty to warn the MAYAGUEZ of the danger of such a capture. Government witnesses were deposed the week of 10 November and the skipper, CAPT Miller was deposed 21 November. Pre-trial was held December 19, 1980 and a tentative trial date has been set for January 12, 1981 in San Francisco, CA. Enclosed are copies of the Memorandum of Opinion and Order of July 8, 1980 and a copy of the Plaintiffs and Defendants Pre-trial Statements.

Barbara J. Hobbs v. United States, C.A. No. 79-0477
(D.D.C. 14 February 1979).

Suit was filed by Barbara J. Hobbs, a former employee of DMAHC to recover monies withheld by DMA (2 weeks pay and 4 weeks accumulated annual leave). Monies were withheld because Ms. Hobbs violated the terms of a training contract signed on July 7, 1977 which provided that upon completion of her training she would continue to serve in the DoD for a period of not less than 27 months unless involuntarily separated. Plaintiff was given a RIF notice on 15 June 1978 and voluntarily terminated her employment with DMA on 16 September 1978. Plaintiff alleges that the RIF action constitutes an involuntary separation within the meaning of the contract. DMA's position is that she violated the terms of the contract by voluntarily leaving government service and is, therefore, obligated to pay back DMA dollars spent on her training.

This is to our knowledge a case of first impression. Motions for Summary Judgment have been filed, no trial date has been set. The Court granted plaintiff's motion to amend the complaint. DMA's answer has been filed.

Chamberlain & Seibold v. Defense Mapping Agency, Civil No. SA 77 CA 140 (W.D. Tex. 17 May 1977).

This is a suit by 2 DMAHTC (San Antonio) employees alleging denial of promotions because of age. Proposed pretrial orders filed, however, no trial date has been set. Awaiting instructions from judge. Currently drafting summary judgment motion to get case moving and awaiting trial date.

Churchill Chia-Chu Sze v. Director, Defense Mapping Agency, Civil No. K-79-353 (D. Md. 31 January 1979).

By Court Order of 31 January 1979 case was transferred from the U.S. District Court for the District of Columbia to the District of Maryland (Baltimore). Agency advised that Sze filed motion alleging DMA violated Court Order of 5 November 1979. That Order said that the old standards should be used for one year (5 November 1979 - 5 November 1980) on any promotion announcements for which Sze would be eligible to apply. Sze claims he was qualified for at least one position and that the Agency failed to evaluate him in accordance with those old standards. The old qualification standards were: experience, education, awards and training, however, the Knowledge, Skills, Abilities and Personal Characteristics (KSAP) method was used to evaluate candidates under PVA 80-111, a GS-12 position for which Sze was eligible to apply. Court may order further relief. However, DMA's position is that KSAPs merely change the format in which a person's "resume" is presented, therefore, it is not a substantive change. Agency currently preparing answer.

SS PIONEER COMMANDER - Stranding of Vessel, August 13, 1977
United States Lines, Inc. v. U.S.A. SDNY 79 Civ. 4209 (RJW)

This is a case involving the grounding of the ship SS PIONEER COMMANDER off the coast of Northern Scotland. Plaintiff is alleging the grounding occurred due to an error on a DMA nautical chart. Agency to file answer to Request for Production. Case still in discovery. Both sides have interrogatories and requests for production. DMA's answer has to be coordinated with at least three different government agencies. A copy of the Litigation Report is enclosed.

ORIGINAL
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CLERK, U. S. DIST. COURT
SAN FRANCISCO

UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA

ALFRED J. RAPPENECKER, ALBERT
MINICHIELLO, DARRYL V. KASTL,
FRANK CONWAY, and RAYMOND PAUL
FRIEDLER, JR.,

Plaintiffs,

NO. C-76-0298-WWS

v.

UNITED STATES OF AMERICA,
Defendant.

CAROL A. SCHMIDT, As
Administratrix of the Estate
of EARL C. GILBERT,

Plaintiff,

NO. C-76-0422-WWS

v.

UNITED STATES OF AMERICA,
Defendant.

JUAN P. SANCHEZ and WILBERT N.
BOCK,

Plaintiffs,

NO. C-77-0565-WWS

v.

UNITED STATES OF AMERICA,
Defendant.

FRANCIS PASTRANO,

Plaintiff,

NO. C-77-0939-WWS

v.

UNITED STATES OF AMERICA,
Defendant.

MEMORANDUM OF OPINION
AND ORDER

Doc 2

2 against the United States under the Suits in Admiralty Act
3 (SIAA), 46 U.S.C. Section 742. Jurisdiction exists under
4 28 U.S.C. Section 1333(1). Plaintiffs seek damages for
5 personal injuries allegedly suffered during United States
6 military operations in response to the seizure of the
7 Mayaguez by Cambodian gunboats on May 12, 1975. They advance
8 two theories of liability against the government: (1) neg-
9 ligence in undertaking and executing the military operation
10 and (2) breach of a duty to warn the Mayaguez of the danger
11 of such a capture.^{1/}

12 At a status conference on December 28, 1979, the Court
13 directed plaintiffs to show cause why it had jurisdiction of
14 the claims stated. The parties filed memoranda and affidavits
15 and appeared at a hearing on February 29, 1980. At that
16 hearing the Court expressed its tentative view that the
17 claim of negligence by the government in connection with the
18 military operation presented a nonjusticiable political
19 question. At the Court's invitation, the parties then
20 submitted supplementary pleadings on the propriety of
21 summary judgment in favor of the government.

22 I. Factual Background

23 The Mayaguez, a privately owned cargo vessel operating
24 under American registry was seized by Cambodian gunboats on
25 May 12, 1975, as it passed within 3 miles of the Poulo Wai
26 Islands in the Gulf of Thailand, 60 miles from the Cambodian
27 coast. The ship had departed Hong Kong on May 8, bound for
28 Sattahip, Thailand, carrying United States military cargo
29 and other freight. At the time, Cambodia, as well as
30 Thailand and Vietnam, claimed sovereignty over the Poulo Wai
31 Islands.

32 Immediately after learning of the seizure, the United

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United States government undertake surveillance of the Mayaguez and its crew, who were being held on the nearby Cambodian island of Koh Tang. On May 13, after making demands for return of the vessel and the crew through the media and diplomatic channels, President Ford "directed the United States Armed Forces to isolate the island and interdict any movement between the ship or the island and the mainland, and to prevent movement of the ship itself, while still taking all possible care to prevent loss of life or injury to the U.S. captives." (Letter dated May 15, 1975, from President Ford to the Speaker of the House.) Plaintiffs claim that they were injured during engagements between U.S. military aircraft and the boat on which the crew of the Mayaguez was being transported from Koh Tang Island to the mainland.

Plaintiffs have alleged that agencies of the United States had notice, before the Mayaguez left Hong Kong for Sattahip, of similar hostile acts by Cambodia against vessels in waters near the Poulo Wai Islands. In traveling near the Poulo Wai Islands, the Mayaguez followed a trade route described in official publications of the United States government. Means were available to the government to warn ships in port at Hong Kong or at sea, by radio, of the risk of attack or seizure. No such warning was broadcast in advance of the seizure of the Mayaguez.

II. Liability Based on Military Operations

Plaintiffs argue that the government may be held liable under the SIAA for negligence in undertaking and executing the military operations. This claim raises two issues: (1) whether it is barred by an implied "discretionary function" exception to the waiver of sovereign immunity in the SIAA and (2) whether it presents nonjusticiable political questions.

A. Discretionary Function Exception

Had this action been brought before 1960, a district

1 court could not have entertained it under the Federal Tort
2 Claims Act (FTCA) which contained an exception for claims
3 based upon the performance of discretionary functions of
4 government. 28 U.S.C. Section 2680(a). In 1960, Congress
5 amended SIAA to eliminate conflict and confusion concerning
6 the respective jurisdiction of the district courts and Court
7 of Claims over actions against the government arising out of
8 admiralty matters. See the discussion in De Bardeleben
9 Marine Corp. v. United States, 451 F.2d 140, 143-44 (5th
10 Cir. 1971). As a result of the amendment, the district
11 courts were given jurisdiction over "cases [against the
12 government] where . . . if a private person or property were
13 involved, a proceeding in admiralty could be maintained . . ."
14 46 U.S.C. Section 742. Referring to the legislative history
15 of the amendment, the court in De Bardeleben said:

16 The Senate Report indicates that the
17 purpose "of the amendments is to make
18 as certain as possible that suits brought
19 against the United States for damages
20 caused by vessels and employees of the
21 United States through breach of contract
22 or tort can be originally filed in the
23 correct court so as to proceed to trial
24 promptly on their merits." And in
25 another part of the Report we learn
26 that the purpose of the bill, as
27 amended, is to authorize the transfer
28 of cases between the U.S. district
29 courts and the Court of Claims, and
30 vice versa. "The bill also clarifies
31 confusing language now existing in
32 section 2 of the Suits in Admiralty
Act." Senate Report, supra, at p.
3583. 451 F.2d at 145.

The effect of the amendments, enacted to achieve these
purposes, was to extend the waiver of sovereignty to cases
brought against the United States under the SIAA. In taking
this action, Congress was silent on whether the exceptions
which would have applied had the case been brought under the
FTCA would apply under the SIAA.

The issue whether the discretionary function exception

1 found in the FTCA should be implied under the SIAA has been
2 addressed by four courts of appeals. The First and Seventh
3 Circuits have held that such an exception must be implied.
4 Bearce v. United States, 614 F.2d 556, 559-60 (7th Cir.
5 1980); Gercey v. United States, 540 F.2d 536, 539 (1st Cir.
6 1976), cert. denied, 430 U.S. 954 (1977). In doing so, they
7 relied on the narrow purpose of the 1960 amendment to
8 eliminate jurisdictional conflict and confusion, and on the
9 uncalled-for results should the many legislative and ad-
10 ministrative judgments concerning the public interest in
11 maritime matters be subject to independent judicial review.
12 See also United States v. United Continental Tuna Corp., 425
13 U.S. 164, 176 (1976), commenting on the limited purpose of
14 the 1960 amendments.

15 The Fourth Circuit, in Lane v. United States, 529 F.2d
16 175 (4th Cir. 1975), stated that a discretionary function
17 exception could not be imported into the SIAA. It did so,
18 however, without discussion of the considerations on which
19 the First and Seventh Circuits relied. The statement may,
20 in any event, have been unnecessary to the decision because
21 other provisions of law imposed a duty on the United States
22 to mark sunken vessels. Finally, in De Bardeleben, supra,
23 the Fifth Circuit rejected importation of the discretionary
24 function exception in what clearly was dictum. 451 F.2d at
25 146.^{2/}

26 The question appears to be one of first impression in
27 this circuit. The Court is persuaded by the reasoning of
28 the Bearce and Gercey decisions. To subject to judicial
29 scrutiny policy decisions made at the highest level of
30 government simply because the action was brought under the
31 SIAA rather than the FTCA would go far beyond the limited
32 purpose of the 1960 amendments and lead to "an intolerable

1 state of affairs." Gercey, supra, 540 F.2d at 539.

2 Having determined that an exception for discretionary
3 functions must be implied under the SIAA, the Court finds
4 that the decision to undertake the rescue operation and its
5 execution fall within that exception. The decision itself
6 involved a "basic policy judgment as to the national interest."
7 see Gercey v. United States, supra, 540 F.2d at 539; the
8 discretionary function exception which immunizes that
9 decision against judicial scrutiny extends also to acts of
10 subordinates in carrying it out according to official
11 directions. See Dalehite v. United States, 346 U.S. 15, 35-
12 36 (1953).

13 Plaintiffs' claims based on the government's alleged
14 negligence in the conduct of the rescue operation are
15 therefore not actionable under the SIAA.

16 B. Justiciability

17 An alternate ground for dismissing the claims based
18 on the conduct of the military operations is that these
19 claims present nonjusticiable questions. Under the political
20 question doctrine, nonjusticiability is "primarily a function
21 of the separation of powers." Baker v. Carr, 369 U.S. 186,
22 210 (1962). In that decision, the Supreme Court defined the
23 elements which serve to identify nonjusticiable political
24 questions:

25 Prominent on the surface of any case held
26 to involve a political question is found
27 a textually demonstrable constitutional
28 commitment of the issue to a coordinate
29 political department; or a lack of
30 judicially discoverable and manageable
31 standards for resolving it; or the
32 impossibility of a court's undertaking
independent resolution without expressing
lack of the respect due coordinate branches
of government; or an unusual need for
unquestioning adherence to a political
decision already made; or the potentiality
of embarrassment from multifarious pro-
nouncements by various departments on one
question. 369 U.S. at 217.

1 More recently(Justice Powell, concurri(in Goldwater v.
2 Carter, ___ U.S. ___, 100 S.Ct. 533, 534 (1979), summarized
3 the relevant factors as follows:

- 4 (i) Does the issue involve resolution of
5 questions committed by the text of the
6 Constitution to a coordinate branch of
7 government? (ii) Would resolution of
8 the question demand that a court move
9 beyond areas of judicial expertise?
10 (iii) Do prudential considerations
11 counsel against judicial intervention?

12 In deciding to undertake the rescue operation the
13 President exercised his authority over the conduct of
14 foreign relations; in implementing the decision he exercised
15 his powers as commander in chief. See United States v.
16 Curtiss-Wright Corp., 299 U.S. 304, 318-19 (1936)(dictum);
17 The Prize Cases, 67 U.S. (2 Black) 635, 670 (1862).^{3/} Not
18 every question involving the exercise of these powers is
19 necessarily nonjusticiable as a political question. "[A]
20 discriminating analysis of the question posed [is required],
21 in terms of the history of its management by the political
22 branches, of its susceptibility to judicial handling in the
23 light of its nature and posture in the specific case, and of
24 the possible consequences of judicial action." Baker v. Carr,
25 supra, 369 U.S. at 211-12.

26 Plaintiffs contend that the President acted negligently
27 in the exercise of his power, arguing that Cambodia's
28 seizure of the Mayaguez in its territorial waters did not
29 violate international law.^{4/} But that contention is beside
30 the point. It has long been settled that the underlying
31 factual or legal determinations on the basis of which the
32 President conducts the foreign relations of the United
33 States are not subject to judicial scrutiny. Williams
34 v. Suffolk Insurance Co., 38 U.S. (13 Peters) 415, 419-20
35 (1839) (determination by executive branch that the Falkland
36 Islands were not within sovereignty of Buenos Ayres); Doe

1 v. Braden, 57 (U.S. (16 Howard) 635, 656 (1 (1854) (determina-
2 tion by the President that the King of Spain had power to
3 nullify a prior land grant by the Duke of Alagon); see also,
4 Oetjen v. Central Leather Co., 246 U.S. 297, 302-3 (1918).
5 Under the doctrine of separation of powers, the making of
6 those determinations is entrusted to the President. They
7 must be accepted by the judicial branch in the carrying out
8 of its functions. Henkin, Foreign Affairs and the Constitu-
9 tion 214 (1972). Thus, the claim that the President was
10 negligent in treating Cambodia's seizure as illegal is
11 nonjusticiable.

12 That conclusion finds support in the reasoning of the
13 Court in Baker v. Carr, supra:

14 (1) The responsibility for dealing with foreign
15 nations over such matters as the seizure of American persons
16 and property is clearly committed to the President, United
17 States ex rel. Keefe v. Dulles, 222 F.2d 390 (D.C. Cir.
18 1954), cert. denied, 348 U.S. 952 (1955);

19 (2) There are no judicially discoverable and manage-
20 able standards for resolving the present issue, cf. C&S Air
21 Lines v. Waterman Steamship Corp., 333 U.S. 103, 111 (1948);

22 (3) Adjudication would involve a range of initial
23 policy determinations of a kind clearly for nonjudicial
24 discretion;

25 (4) For the Court to undertake an independent resolu-
26 tion would likely reflect lack of respect due a coordinate
27 branch of government;

28 (5) Multifarious pronouncements by various departments
29 on the question create a potential of embarrassment.

30 Plaintiffs contend further that the President acted
31 negligently in deciding to use military force to effect the
32 rescue rather than pursuing diplomatic means. The same

1 consideration (that bar reexamination of the premises of the
2 President's foreign policy decision to demand immediate
3 return of the vessel and crew bar reexamination of the
4 decision to employ military force. The President, as
5 commander in chief, is "necessarily constituted the judge of
6 the existence of the exigency, in the first instance, and is
7 bound to act according to his belief of the facts." Martin
8 v. Mott, 25 U.S. (2 Wheat.) 19, 30 (1827); see, Henkin,
9 supra, at 214.

10 Certainly it is not the function of the
11 Judiciary to entertain private litigation -
12 even by a citizen - which challenges the
13 legality, the wisdom, or the propriety of the
14 Commander-in-Chief in sending our armed
15 forces abroad or to any particular region.

16 Johnson v. Eisentrager, 339 U.S. 763, 789 (1950) (rejecting
17 inter alia a challenge to the legality of the presence of
18 American troops in China and affirming the dismissal of a
19 habeas corpus petition by a non-resident alien who had been
20 tried and convicted of war crimes).^{5/}

21 The indicia of Baker v. Carr apply with equal force
22 here. The responsibility for the use of military forces is
23 clearly committed to the President by the Constitution.^{6/}
24 There are no standards for this Court to judge the reason-
25 ableness of the President's actions. His decisions neces-
26 sarily involved a range of policy determinations entrusted
27 to his discretion. And the prudential considerations
28 identified in Baker v. Carr also strongly oppose independent
29 judicial determination whether the use of military force was
30 reasonable.^{7/}

31 Finally plaintiffs contend that a claim for negligence
32 may in any case be based on the manner in which military
33 personnel carried out the President's order. But the same
34 considerations which preclude judicial examination of the
35 decision to act must necessarily bar examination of the

1 manner in which that decision was executed by the President's
2 subordinates. The textual commitment to the President as
3 commander in chief of authority for military decisions
4 entails that his decisions may be implemented without
5 judicial scrutiny. Durand v. Hollins, 8 F. Cas. 111 (No.
6 4186) (C.C.S.D.N.Y. 1860); cf. Dalehite v. United States,
7 supra, 346 U.S. at 35-36. Moreover, courts lack standards
8 with which to judge whether reasonable care was taken to
9 achieve tactical objectives in combat while minimizing
10 injury and loss of life. See Da Costa v. Laird, 471 F.2d
11 1146, 1155 (2d Cir. 1973).^{8/}

12 The Court concludes that plaintiffs' claims arising out
13 of the military operations fall within the class of claims
14 arising out of determinations entrusted to the executive
15 branch and not subject to review by the courts, and are
16 therefore nonjusticiable.

17 III. The Failure to Warn

18 Plaintiffs also seek to hold the government liable for
19 failing to issue a warning about the danger of seizure by
20 Cambodian forces in the waters near the Poulo Wai Islands.
21 They argue that the government had cause to issue such a
22 warning and that the master of the Mayaguez reasonably
23 relied on its absence in charting the freighter's course.

24 The controlling principle is stated in Indian Towing
25 Co. v. United States, 350 U.S. 61, 69 (1955):

26 The Coast Guard need not undertake the
27 lighthouse service. But once it exercised
28 its discretion to operate a light on
29 Chandeleur Island and engendered reliance
30 on the guidance afforded by the light, it was
31 obligated to use due care to make certain
32 that the light was kept in good working
order; and, if the light did become extin-
guished, then the Coast Guard was further
obligated to use due care to discover this
fact and to repair the light or give warning
that it was not functioning. If the Coast
Guard failed in its duty and damage was there-
by caused to petitioners, the United States
is liable under the Tort Claims Act.

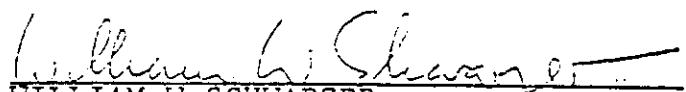
1 Whether the issuance of broadcast and written warnings
2 by the government from time to time and the publication of
3 sailing directions engendered reasonable reliance and
4 whether the government's failure to warn of risks of seizure
5 was negligent are mixed questions of law and fact which
6 cannot be adjudicated on summary judgment. A trial must be
7 held on those issues. In so holding, the Court intimates no
8 view on the merits of this claim.

9 Accordingly, defendant's motion for summary judgment is
10 granted with respect to all claims arising out of the
11 military operations and denied without prejudice as to the
12 claims based on defendant's failure to warn.

13 The parties are directed to appear for a preliminary
14 pretrial conference on August 8, 1980 at 3 p.m., and to
15 confer in advance with respect to the scope of the trial and
16 dates for pretrial and trial.

17 IT IS SO ORDERED.

18 DATED: July 8, 1980

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20 
21 WILLIAM W SCHWARZER
22 United States District Judge
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1 FOOTNOTES (

2 1/ Plaintiffs' opening memorandum advanced a third
3 theory: that the military rescue operation and failure to
4 warn breached the government's duty of good faith as a
5 shipper of goods aboard the Mayaguez. However, the carriage
6 of goods owned by the United States was a mere coincidence
7 that did not contribute to the risk of seizure or any
8 consequent injury to the crew. The cases cited by plaintiffs
9 do not support the proposition that because the government
10 was a shipper of goods it owed the Mayaguez any special care
11 in issuing navigational warnings or in the choice of diplo-
12 matic or military tactics after the seizure. Plaintiffs'
13 brief relies on the bill of lading as the basis for a
14 contractual duty on the part of the government, but it cites
15 no promise in the bill of lading that might have been
16 breached by the government's conduct. The fact that the
17 government was a shipper of goods on the Mayaguez adds
18 nothing to plaintiffs' other theories of liability.

19 2/ The Court in De Bardeleben, in rejecting an implied
20 discretionary function exception under the SIAA, feared that
21 it would produce irrational and unintended distinctions,
22 pointing to cases in which liability was imposed upon the
23 United States for the operation of military vessels. 451
24 F.2d at 146 n.15. The cases cited, however, involve claims
25 based upon the negligent operation of vessels which, as
26 operational acts, would fall outside the scope of the
27 discretionary exception. See, Gercey v. United States,
28 supra, 540 F.2d at 539 n.4.

29 3/ Cf. Goldwater v. Carter, supra, 100 S.Ct. at 535:

30 The present case involves neither review
31 of the President's activities as
32 Commander-in-Chief nor impermissible
33 interference in the field of foreign
34 affairs.

(Justice Powell, concurring).

35 4/ According to the authority relied on by plaintiffs,
36 the dispositive issue under international law would be
37 whether it was reasonably necessary under the circumstances
38 for Cambodia to seize the Mayaguez to find out if it threat-
39 ened Cambodian security. J. Paust, The Seizure and Recovery
40 of the Mayaguez, 85 Yale L.J. 774, 785-95 (1976).

41 5/ See also The Prize Cases, supra; Atlee v. Laird, 347
42 F. Supp. 689 (E.D. Pa. 1972), aff'd without opinion, 411
43 U.S. 911 (1973); Luther v. Borden, 48 U.S. (7 Howard) 1, 43
44 (1849), quoted in Baker v. Carr, supra, 369 U.S. at 221:

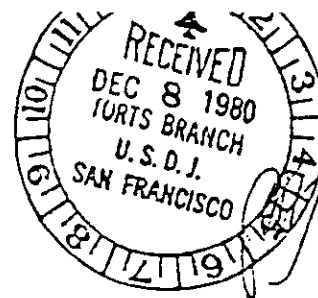
45 After the President has acted and
46 called out the militia, is a Circuit
47 Court of the United States authorized
48 to inquire whether his decision was
49 right? . . . If the judicial power
50 extends so far, the guarantee contained
51 in the Constitution of the United States
52 is a guarantee of anarchy, and not of

1 6/ The proposed text of Article 1, Section 8, clause 11
2 was amended in the Constitutional Convention to give Congress
3 the power to "declare" war, striking the word "make", for
4 the express purpose of leaving to the executive "the power
5 to repel sudden attacks." 2 M. Farrand, The Records of the
6 Federal Convention of 1787, at 318-19 (rev. ed. 1937),
7 quoted in Note, Congress, the President, and the Power to
8 Commit Forces to Combat, 81 Harv.L.Rev. 1771, 1773 n.16
9 (1968).

10 7/ Plaintiffs also contend that a private right of
11 action may be implied under the War Powers Resolution of
12 1973, 50 U.S.C. § 1541-48. The difficulty with plaintiffs'
13 case, however, is not the lack of a cause of action but the
14 lack of justiciability of their claims in view of the
15 separation of powers doctrine. The War Powers Resolution
16 does not affect that doctrine or diminish the authority of
17 the decisions relied on by the Court. This does not, of
18 course, imply any view about the justiciability of other
19 cases under the War Powers Resolution.

20 8/ Plaintiffs' reliance on cases which determine the
21 limitations of the immunity doctrine applicable to military
22 officers is beside the point. Immunity may afford an
23 absolute or qualified defense to government officials
24 against otherwise valid claims for damages. The Court holds
25 here, however, that no such claims have been presented in
26 connection with the conduct of the military operations.

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MARTIN J. JARVIS, ESQUIRE
JARVIS, MILLER, BRODSKY & BASKIN, INC
123 Second Street
San Francisco, California 94105
(415) 543-1111

Attorneys for Plaintiffs

IN THE UNITED STATES DISTRICT COURT
FOR THE NORTHERN DISTRICT OF CALIFORNIA

ALFRED J. RAPPENECKER, ALBERT
MINICHELLO, DARRYL V. KASTL
and FRANK CONWAY,

Plaintiffs,

v.

UNITED STATES OF AMERICA,

Defendant.

CAROL A. SCHMIDT, as Administratrix
of the Estate of EARL C. GILBERT,

Plaintiff,

v.

UNITED STATES OF AMERICA,

Defendant.

JUAN P. SANCHEZ and WILBERT N. BOCK,

Plaintiffs,

v.

UNITED STATES OF AMERICA,

Defendant.

FRANCIS PASTRANO,

Plaintiff,

v.

UNITED STATES OF AMERICA,

Defendant.

CIVIL NO. C-76- 298 WWS
CIVIL NO. C-76- 422 WWS
CIVIL NO. C-77-0565 WWS
CIVIL NO. C-77-0939 WWS

PLAINTIFF'S PRETRIAL
STATEMENT

1 Come now plaintiffs and file the following Pretrial
2 Statement in this action.

3 1. Parties: Plaintiffs are 7 crew members of the
4 SS MAYAGUEZ and one Administratirx representing the Estate of an
5 8th crew member. The defendant is the United States of America.

6 2. Jurisdiction and Venue: These action are brought
7 against the United States under the Suits in Admiralty Act (SIAA),
8 46 U.S.C. Section 742. Jurisdiction exists under 28 U.S.C. Section
9 1333(1). Venue is proper and undisputed.

10 3. Substance of the Action: Plaintiffs seek damages for
11 personal injuries suffered in captivity by Cambodia and as a
12 foreseeable consequence of their rescue during United States
13 military operations in response to the seizure of the MAYAGUEZ by
14 Cambodian gunboats on May 12, 1976. Plaintiffs expect to prove
15 liability based on negligence of the government in failing to warn
16 the MAYAGUEZ of the danger of capture and detention, with prior
17 knowledge of recent similar hostile military and political activi-
18 ties by Cambodia constituting a hazard to navigation in the Gulf
19 of Thailand.

20 4. Undisputed Facts: On May 12, 1975, the American
21 merchant vessel MAYAGUEZ and her crew were seized and detained in
22 navigable waters by Cambodian nationals within the 12 mile terri-
23 torial sea of the Poulo Wai Islands claimed by Cambodia which are
24 located about 60 miles off the Cambodian coast in the Gulf of
25 Thailand.

26 Long prior to the seizure of the vessel, the United States
27 as authorized by statute (10 U.S.C. §§7391, 7392 and 14 U.S.C.
28 §1236 undertook to warn American merchant ships by radio broad-
29 cast and written notice of natural and man-made hazards to naviga-
30 tion including domestic and foreign military and political
31 activity affecting shipping throughout the world

1 The defendant with prior knowledge of r
2 hostile military and political activities by Camb
3 ship seizures and detentions in the same area of
4 Thailand failed to warn the MAYAGUEZ under estab
5 procedures of the hazard to navigation thereat.

6 The government publishes various nautical
7 document known as Sailing Directions for the Western
8 the South China Sea (PUB 93) and Radio Navigational
9 which all American mariners are required by the United
10 Coast Guard to carry aboard their ship on foreign voyages and
11 the government intends United States flag vessels to
12 documents are required to be kept current and up-to-date
13 information supplied through radio broadcast and written
14 to mariners also published and disseminated by the United
15 government.

16 American mariners including the master of it
17 rely on the government to issue timely warnings of both
18 and man-made hazards to navigation, including military
19 political activities known to the United States so that
20 change the course of their ship or take other corrective
21 to avoid injury to life and property at sea.

22 The dereliction of duty of the government in failing to
23 warn the MAYAGUEZ of the hazard to navigation of which it had
24 prior knowledge was a proximate cause or a substantial factor
25 in causing the capture and detention of the vessel with consequen-
26 tial injuries to the plaintiff crew members in this case.

27 5. Disputed Factual Issues: Plaintiffs do not believe
28 there are any disputed facts on the liability issue.

29 6. Relief Prayed: Plaintiffs pray damages as follows

30 Alfred J. Rappenecker Three Hundred Fifty Thousand
31 \$350,000.00 Dollars plus special damages to conform to proofs
32

1 The defendant with prior knowledge of recent similar
2 hostile military and political activities by Cambodia, including
3 ship seizures and detentions in the same area of the Gulf of
4 Thailand failed to warn the MAYAGUEZ under established government
5 procedures of the hazard to navigation thereat.

6 The government publishes various nautical charts, a
7 document known as Sailing Directions for the Western Shores of
8 the South China Sea (PUB 93) and Radio Navigational Aids (PUB 117B)
9 which all American mariners are required by the United States
10 Coast Guard to carry aboard ship on foreign voyages and upon which
11 the government intends United States flag vessels to rely. These
12 documents are required to be kept current and up-to-date by
13 information supplied through radio broadcast and written notices
14 to mariners also published and disseminated by the United States
15 government.

16 American mariners including the master of the MAYAGUEZ
17 rely on the government to issue timely warnings of both natural
18 and man-made hazards to navigation, including military and hostile
19 political activities known to the United States so that they may
20 change the course of their ship or take other corrective action
21 to avoid injury to life and property at sea.

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23 warn the MAYAGUEZ of the hazard to navigation of which it had
24 prior knowledge was a proximate cause or a substantial factor
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2 (\$350,000.00) Dollars; plus special damages to conform to proofs;
3 Darry V. Kastl, Two Hundred Fifty Thousand (\$250,000.00)
4 Dollars, plus special damages to conform to proofs;

5 Frank Conway, Three Hundred Fifty Thousand (\$350,000.00)
6 Dollars; plus special damages to conform to proofs;

7 Carol A. Schmidt, As Administratrix of the Estate of
8 Earl S. Gilbert, Two Hundred Fifty Thousand (\$250,000.00) Dollars;

9 Juan P. Sanchez, Three Hundred Fifty Thousand
10 (\$350,000.00) Dollars, plus special damages to conform to proofs;

11 Wilbert N. Bock, Two Hundred Fifty Thousand (\$250,000.00)
12 Dollars, plus special damages to conform to proofs;

13 Francis Pastrano, Two Hundred Fifty Thousand
14 (\$250,000.00) Dollars, plus special damages to conform to proofs.

15 Determination of the issue of damages has been deferred
16 pending trial of the liability issue.

17 7. Points of Law: The points of law involved in this
18 case are set forth in the Memorandum of Opinion and Order of the
19 Court filed July 8, 1980 herein. Plaintiffs have reserved
20 exceptions to those portions of the Order regarding the govern-
21 ment's liability based on Military Operations (including any
22 Discretionary Function Exception and the question of Justiciability
23 thereunder).

24 Consequential damages which flow from defendant's
25 negligent failure to warn resulting in the seizure of the vessel,
26 include damages caused during foreseeable rescue attempt by
27 U.S. Military forces, since capture invites rescue.

28 See Prosser, Torts 4th Ed. p. 207.

29 8. Previous Motions: Plaintiffs' Motion for an Order
30 Compelling Defendant to Answer Interrogatories and Produce
31 Documents for Inspection heard before the Honorable Lloyd H. Burke
32 of March 4, 1977 was granted on March 6, 1977.

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2 (\$350,000.00) Dollars; plus special damages to conform to proofs;

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31 Documents for Inspection heard before the Honorable Lloyd H. Burke

1 government warnings regarding hazards to navigation.

2 (c) Oscar L. Martin, Chief U.S. Defense Mapping Agency
3 Hydrographic Department (adverse witness by deposition), expert
4 and factual witness on government maritime warning procedures.

5 (d) Richard K. Bank, former director of Office of
6 Maritime Affairs, U.S. Department of State (adverse witness by
7 deposition), expert and factual witness on government warnings to
8 Mariners and American Shipping.

9 (e) Elmer B. Staats, Comptroller General of the United
10 States (by Official Government Report and Public Record entitled
11 "Seizure of the Mayaguez, Part IV," dated October 4, 1976,
12 published by the U.S. Government Printing Office, Document No.
13 76-33.) Factual witness on findings regarding Mayaguez incident.

14 10. Exhibits, Schedules and Summaries: Plaintiffs
15 may introduce the following exhibits:

16 (1) The Report of the Comptroller General of the
17 United States submitted to the Subcommittee on International
18 Political and Military Affairs, Committee on International
19 Relations entitled "Seizure of the Mayaguez" Part IV, Government
20 Printing Office Publication No. 76-33.

21 (2) The original nautical charts from the SS MAYAGUEZ
22 which were plotted by Captain Charles Miller and his staff
23 officers.

24 (3) The Sailing Directions for Western Shores of South
25 China Sea, Publication No. 93 for 1975.

26 (4) Radio Navigation Aids, Publication No. 117E for
27 1974 and 1975.

28 (5) The memorandum of Bert W. Rein to Joseph J. Sisco
29 dated February 9, 1976 with attachment - Pages 47 and 48 to the
30 Report of the Comptroller General of the United States - System
31 to Warn U.S. Mariners of Potential Political/Military Hazards

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1 (18) Summary of Ocean Claims.

2 (19) The letter of Richard K. Bank to Captain John L.
3 Butts, Assistant Commander Naval Intelligence Command, dated
4 October 7, 1975, marked as plaintiffs' Exhibit 5 to the deposition
5 of Richard K. Bank.

6 (20) The booklet, Currents in the South China, Jarva,
7 Celebes and Sulu Seas, publication No. 236, dated 1945 published
8 under the Authority of the Secretary of the Navy.

9 (21) Analysis Defense Mapping Agency Daily Memoranda
10 Pacific Edition (Hydropacs) from April 2, 1975 through June 2,
11 1975, marked as defendant's Exhibit A to the deposition of
12 Henrik E. Sievers taken December 1, 1980.

13 (22) Standing Orders, of Henrik Sievers to all
14 licensed Deck Officers, USCG Rules and Regulations - M&P
15 Agreement.

16 (23) Nautical Chart No. 92380 plotted by Captain T.
17 Parrish and Captain Henrik Sievers.

18 (24) Defendant's response to Plaintiffs' Request for
19 Admissions dated January 1, 1980.

20 11. Further Discovery or Motions: None contemplated on
21 liability issue.

22 12. Stipulations: Plaintiff's exhibits are genuine
23 and may be admitted into evidence as marked without further
24 foundation.

25 13. Amendments, Dismissals: Plaintiffs reserve the
26 right to amend their complaint regarding respective amounts of
27 damages according to the proofs. Plaintiff Friedler requests a
28 discontinuance and voluntary dismissal of his claim against the
29 defendant.

30 14. Settlement Discussions: The government is unwilling
31 to discuss settlement at this time.

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JUAN P. SANCHEZ and
WILBERT N. BOCK,

Plaintiffs,

v.

UNITED STATES OF AMERICA,

Defendant.

CIVIL NO. C-77-565-WWS

FRANCIS PASTRANO,

Plaintiff,

v.

UNITED STATES OF AMERICA,

Defendant.

CIVIL NO. C-77-939-WWS

PRETRIAL STATEMENT OF
DEFENDANT
UNITED STATES OF AMERICA

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(1) USE OF SERVICE BY MAIL - 10/24/80 (5 P.M. P.S.)
I, the undersigned, hereby certify that I was a citizen of the
United States over the age of eighteen years and not a party to
the within action; my business address is 113 - 2nd Street
San Francisco, CA 94102

I signed a true copy of the within complaint by placing
some in an envelope, sealing it, and depositing it in the
mail and depositing said envelope in the U.S. Mail in San Francisco, Cali-
fornia on the 8th day of December 1980
said envelope was addressed as follows and certify under penalty
of perjury that the foregoing is true and correct.


EILEEN LIEGL


Warren A. Schneider, Esq.
Torts Branch, Civil Div.
U.S. Dept. of Justice
16152 Federal Bldg.
P.O. Box 36028
459 Golden Gate Ave.
San Francisco, CA 94102

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(U.S. POST OFFICE SERVICE BY MAIL - REGISTERED MAIL - 5 D. C. 10)

I, the undersigned, hereby certify that I am a citizen of the United States over the age of eighteen years and not a party to the within action; my business address is 193 - 2nd Street San Francisco, California 94105

I served a true copy of the within complaint by placing same in an envelope, sealing the same, and depositing said envelope in the United States Post Office, California on the 8th day of December 1980 said envelope was addressed as follows; and certify under penalty of perjury that the foregoing is true and correct.


EILEEN LIEGL

Warren A. Schneider, Esq.
Torts Branch, Civil Div.
U.S. Dept. of Justice
16152 Federal Bldg.
P.O. Box 36028
459 Golden Gate Ave.
San Francisco, CA 94102

1 of Southeast Asia in which the MAYAGUEZ operated was one of a
2 hostilities and disputes among the various nations was well known
3 to officials of Sea-Land, and to the Master and crew of the MAYAGUEZ,
4 including the plaintiffs herein.

5 Shortly before the attack on the MAYAGUEZ, there had been
6 reports of attacks on other vessels. These reports had come to the
7 attention of certain agencies of the United States Government, but
8 not to the attention of personnel in the Defense Mapping Agency or
9 the Maritime Affairs Branch, Department of State, the two agencies
10 directly involved in the decision as to whether or not a warning
11 should be issued. These officials did not know of these earlier
12 incidents until after the seizure of the MAYAGUEZ. Thus, no naviga-
13 tional warnings concerning these attacks had been issued by the
14 United States. The first incident, a reported attack on a South
15 Korean vessel, the MASAN, about a week before the seizure of the
16 MAYAGUEZ, was promptly reported by Lloyd's of London and by Singapore
17 Radio, which was monitored by the MAYAGUEZ.

18 The United States Government issues two types of navigational
19 warnings. One is called a "Special Warning" which is reserved for
20 severe incidents, such as the outbreak of war. These are issued
21 very infrequently. In fact, less than 40 substantive ones had been
22 issued between 1948, when they started, until the seizure of the
23 MAYAGUEZ.

24 The second navigational warning issued by the United States is
25 called Hydrolants or Hydropacs, depending on the area of the world
26 desired to be covered. These contained basic navigational informa-
27 tion, e.g., changes in lights and buoys, the reporting of wrecks,
28 shoals, etc. They were also used to report scheduled naval exercises,
29 gunnery tests, missile firings, etc. On very rare occasions they
30 were used to report the possibility of hostile actions, but, prior
31 to the MAYAGUEZ seizure, only when the information was based on
32 official requests from U. S. Government agencies such as the Coast

2 the Suits in Admiralty Act.

3 (i) Witnesses to be Called:

4 Defendant may call at trial on the issue of liability, either
5 live or by way of deposition, the following individuals, reserving
6 rebuttal or impeachment witnesses:

7 (1) Mr. O. L. Martin, Defense Mapping Agency;

8 (2) Mr. Richard Bank, formerly of Office of Maritime
9 Affairs, Department of State;

10 (3) Any witnesses listed by plaintiffs.

11 (j) Exhibits, Schedules and Summaries:

12 EXHIBITS - MAYAGUEZ

13 A. - Chart No. 93280 from MAYAGUEZ;

14 B. - Chart No. 3132 from MAYAGUEZ;

15 C. - Operations Center Log, U. S. Department of State, for
16 May 4, 1975 (portions);

17 D. - Operations Center Log, U. S. Department of State,
18 for May 12 - 15, 1975 (portions);

19 E. - Portions of Sailing Directions, Gulf of Thailand (Pub. 93);

20 F. - Radio Navigational Aids, Pub. 117;

21 G. - Bowditch, American Practical Navigator;

22 H. - "Limits in the Seas - National Claims to Maritime Juris-
23 dictions" - State Department Pub. No. 36;

24 I. - July 1972 Pilot Chart;

25 J. - Notices to Mariners;

26 K. - Daily Memoranda;

27 L. - Draft of Special Warning #45;

28 M. - Special Warning #45;

29 N. - Lloyd's publications on attack on MASAN;

30 O. - Any exhibit listed by plaintiffs.

31 Defendant reserves its right to amend or supplement this list of

32 exhibits depending on the issues raised by plaintiffs.

DEFENSE MAPPING AGENCY
HYDROGRAPHIC/TOPOGRAPHIC CENTER
WASHINGTON, D.C. 20315

LITIGATION REPORT

REPLY TO
ATTENTION OF

United States Lines v. United States of America
Civil Action No. 79 CIV 4209, U.S.D.C., S.D.N.Y.

BACKGROUND

The Defense Mapping Agency, through a series of delegations of authority, is responsible for the statutory duties imposed by 10 U.S.C. §§7391-7394 to generally "improve means of navigating vessels of the Navy and merchant marine by providing . . . accurate and inexpensive nautical charts, sailing directions, books on navigation . . ."

Pursuant to this statutory duty, the Hydrographic/Topographic Center of the DMA publishes a number of aids to navigation, among which are Lists of Lights and Fog Signals, Hydrographic Charts, Sailing Directions and periodic Notices to Mariners.

The particular Aid to Navigation which is questioned by the complaint herein is H.O. Pub 114, "List of Lights and Fog Signals for the British Isles, English Channel and North Sea," issue of 1976. At the time of the stranding of Pioneer Commander, the characteristics of the Pentland Skerries Light on Muckle Skerry were listed in Pub 114 as stated in the complaint. Our best information is that the actual characteristics of the light were also as alleged in the complaint.

loc 5

FACTUAL NARRATIVE

STRANDING. The facts surrounding the stranding of Pioneer Commander are derived from the Report of the Coast Guard Investigating Officer (Tab A), which is the only source available to us so far.

Briefly stated, while transiting Pentland Firth from east to west at night, the Master of Pioneer Commander claims to have incorrectly identified Pentland Skerries Light on Muckle Skerry as the Duncansby Head Light. As a result, his actual position was some three and a half miles north of where he believed he was, and the ship grounded in Pentland Skerries.

PENTLAND SKERRIES LIGHT. At the time of the stranding, Pentland Skerries Light was listed by DMA in Pub 114, "List of Lights and Fog Signals, British Isles, English Channel and North Sea," August 1976 edition, as:

Gp. Fl. W. (3)
period 30s
fl. 0.4s, ec. 0.1s
fl. 0.4s, ec. 0.1s
fl. 0.4s, ec. 28.6s (Tab B)

This characteristic has been listed for Pentland Skerries Light since 1965, before which it was described as:

Gp. Fl. W. (3)
period 30s
fl. 4s, ec. 1s
fl. 4s, ec. 1s
fl. 4s, ec. 16s (Tab C)

No documentation has yet been found for the 1965 change.

At the time of the stranding, the Pentland Skerries Light was listed in the British Admiralty "List of Lights and Fog Signals, British Isles and North Coast of France" as:

Gp. Fl. (3) W 30s, with a note,

fl. 0.4, 3 times in quick succession. (Tab D)

By letter of 3 October 1977 to the law firm of Hill, Dickenson and Co., the British Northern¹ Lighthouse Board gave the characteristics of the Pentland Skerries Light as:

Flash	0.4 sec
Eclipse	5.6 sec
Flash	0.4 sec
Eclipse	5.6 sec
Flash	0.4 sec
Eclipse	17.6 sec

Total 30.0 sec (Tab C, Encl 17)

The Northern Lighthouse Board also advised in the same letter that the light was "flashing to character." (Ibid)

SUGGESTED ANSWER

The agency suggests the following answer to the complaint, recognizing that certain information must come from Military Sealift Command.

ANSWER

FIRST DEFENSE

Answering specifically the numbered paragraphs of the complaint, utilizing the same paragraph numbering, defendant states as follows:

1. Deny.

2. Admit.

3. Defendant is without knowledge or information sufficient to form a belief as to the truth of the averment that Pioneer Commander was tight, staunch, strong and seaworthy and properly manned, equipped and supplied until the stranding complained of. Admit remainder of the allegations in this paragraph.

4. Admit defendant United States of America is a sovereign state. Deny that defendant has consented to be sued on the cause or causes of action set forth in the complaint by Act of Congress of March 9, 1920 (46 U.S.C. §§741 et seq. known as the Suits in Admiralty Act, 1920, as amended and supplemented, or by the Act of Congress of August 2, 1946 (28 U.S.C. §§1346(d) et seq.), as amended and supplemented.

5. Defendant is without knowledge or information sufficient to form a belief as to the truth of the allegations of the last sentence of this paragraph, but insofar as an answer may be deemed to be required, deny the last sentence. The remainder of this paragraph contains mixed conclusions of law and allegations of fact which contain plaintiff's characterization of its action herein. Insofar as an answer may be deemed to be required, deny, except to admit that the quotations cited from Pub's 114 are accurate as to a portion

of Pub's 114, and the Court is referred to the full texts thereof for a complete and accurate statement of their contents.

6. (TO BE PROVIDED BY MSC)

7. Deny.

8. Deny.

9, et seq. Answer to second cause of action to be provided by Military Sealift Command.

SECOND DEFENSE

The complaint fails to state a claim upon which relief can be granted.

THIRD DEFENSE

The Court lacks jurisdiction over the subject matter of this action because it is in effect a suit against the United States to which it has not consented.

FOURTH DEFENSE

Plaintiff has failed to exhaust its administrative remedies.

FIFTH DEFENSE

The injuries and/or damage alleged in the complaint were not proximately caused by a negligent or wrongful act or omission of an employee of the United States.

ANALYSIS OF ANSWER

FIRST DEFENSE

1. We suggest denying all jurisdictional averments in the complaint because we believe the question of waiver of sovereign immunity has not clearly been settled for chart-making and navigation-aid activities engaged in by DMA. This suggestion only applies to the first cause of action. At any rate, we would rather keep a jurisdictional challenge open by denying the averments in the complaint.

3. There is no reason for the Government to admit the good condition of the ship solely on plaintiff's averment, especially when a ship has stranded. There is always the possibility of uncovering some failure or malfunction during discovery.

4. Same considerations as answer no. 1. Even if waiver of sovereign immunity is found by the Court, the remedies of the Federal Tort Claims Act and the Suits in Admiralty Act are arguably mutually exclusive. It may be to our advantage to get a definitive ruling as to which applies.

5. Even though the factual allegations of this paragraph vis-a-vis the characteristics of lights as published and as actually flashing are correct, our actions throughout are characterized as "negligent" which we cannot admit.

7-8. Self explanatory.

SECOND DEFENSE

This is pro forma to preserve any dispositive type motions which may become available after discovery.

THIRD DEFENSE

This is suggested as an affirmative defense consistent with denials of jurisdiction.

FOURTH DEFENSE

No administrative claim had been presented to DMA before the filing of this action. We do not know whether one had been presented to MSC.

FIFTH DEFENSE

Even if the factual allegations of the complaint are proved, our argument is that the listing in Pub 114 of the Pentland Skerries Light was not the proximate cause of the stranding.

DISCUSSION

A number of questions are raised by the Coast Guard Investigative Report (Tab A) which can only be answered by extensive discovery.

The Master of Pioneer Commander asserts that he consulted H.O. Pub 114 to familiarize himself with the lights he would encounter in Pentland Firth. Duncansby Head Light was correctly described in Pub 114 as:

Fl. W
period 6s
fl. 0.7s, ec. 5.3s, (Tab B)

yet the Master did not identify it.

The character of both the Pentland Skerries and Duncansby Head Lights were correctly listed in Pub 114, viz Pentland Skerries group flashing 3 times in a 30 second period; Duncansby Head continuously flashing in 6 second periods. The Master erroneously identified the characteristics of both lights.

It also seems highly unlikely that an experienced captain would mistake the land mass of S. Ronaldsay for Muckle Skerry, as asserted in the Investigative Report. The former is a considerable land mass in comparison with the latter.

Further, the ship's position and the radar range at the time of this misidentification indicates that both Muckle Skerry and S. Ronaldsay were showing on the screen.

The investigation also reveals that Pioneer Commander identified the loom of a flare on Flotta Island. There is a question of whether his subsequent course was consistent with the perceived Duncansby Head Light in relation to the flare on Flotta Island.

It seems axiomatic that the misidentification of Pentland Skerries Light would have been immediately apparent to the

Master after the stranding, yet in the "Report of Vessel Casualty or Accident - CG 2692," dated almost 2 weeks after the stranding, no recommendations for corrective safety measures were made in the block provided on the form.

(Tab B).

CAUSATION

We believe it will be difficult for plaintiff to establish the essential element of causation based on the single issue of the Pentland Skerries Light listing. Among the difficulties he must surmount (in addition to those already alluded to), are:

a. Duncansby Head and Pentland Skerries Lights are listed consecutively on the same page in Pub 114 (Tab B). The Master failed to identify Duncansby Head Light, which was correctly listed and flashing to character. There is no light in the entire Firth that was flashing according to the precise description given for Pentland Skerries Light, and no other lights in the area which flashed to the character of Pentland Skerries Light (Gp. Fl. W (3) 30s). The character of the light was properly described. (Ibid).

b. The aids to navigation provided by DMA consist of a number of materials, including charts, sailing directions and the light list. Of all these aids, plaintiff is urging that

a minor deviation in one particular listing caused his stranding. If plaintiff was attempting to transit Pentland Firth based on this single aid, with all the others available to him, gross negligence is suggested. Further, the Coast Guard investigation indicates that at the time of the stranding (virtually at the entrance to the Firth), fog was closing in from the northwest (Tab A, p. 3, para. 11). DMA's Pub 141, "Sailing Directions (Enroute) for Scotland" (Tab E) clearly warns: "Extreme caution is necessary when navigating Pentland Firth in hazy weather and passage through the strait should not be attempted in fog." (Ibid, p. 211).

It is virtually certain that many other discrepancies will emerge as discovery is had. In the meantime, DMA is continuing its investigation for further information which will aid in the defense of this suit.

Based on information in the Coast Guard Investigation Report, it appears that the Master of the Pioneer Commander made a quick and mistaken identification of a single navigational aid. He then continued for over an hour and twenty minutes to mistake a group flashing 3 every 30 seconds light for a flashing 6 second light. He failed to adjust his radar to the appropriate range for making a landfall. He neglected

to use the most appropriate scale chart for an intended passage so close to land and he failed to make use of other navigational aids in the area.

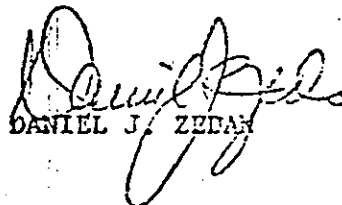
INDEX OF TABS

Record of Coast Guard Investigation Tab A
DMA Pub 114, List of Lights and Fog Signals Tab B
Correspondence File between DMA and Kirilin,
Campbell, and Keating Tab C
Admiralty List of Lights Tab D
DMA Pub 141, Sailing Directions (Enroute) Tab E

Memo To File

Subj: SCOTT, Arthur, Lic #454718, Z-360265-D1; possible negligence resulting in the grounding of the SS PIONEER COMMANDER in the vicinity of Muckle Skerry in Pentland Firth on 13 August 1977.

1. The casualty investigation into the grounding of the SS PIONEER COMMANDER concluded that the cause of the casualty was that the master based his navigation on an incorrectly identified aid to navigation.
2. The master was interviewed by the undersigned and the Senior Investigating Officer on 17 January 1978 as to his actions prior to the casualty. It was determined that Captain Scott had consulted Navigational Publication HO 114; advanced a fix on the chart (approx. 20 minutes before the casualty); maintained a lookout for lights in the area and made an identification on one (1) flashing aid; consulted radar as the vessel approached the passage; took bearings on the light, and plotted two (2) LOP's.
3. In spite of these actions, the subject vessel grounded approximately 3.5 miles North of the estimated position. Careful investigation has disclosed unique factors which undermined the master's piloting efforts. For example, it has been determined that HO 114 incorrectly listed the characteristics of the Muckle Skerry light. (The Hydrographic Office has corrected this listing as a result of this casualty.) This error led the master to believe that the light sighted was in fact another aid further South. This prejudiced the master in interpreting the radar which showed scattered blips in an area later confirmed to be open water. These blips were persistent (probable overfalls due to shoal waters) and appeared to be Pentland Skerries.
4. Further investigation has disclosed that the master used due care in navigating the SS PIONEER COMMANDER prior to the grounding. As there is no evidence of action misconduct, negligence, inattention to duty, or incompetence, it is recommended that this investigation be closed to file.


DANIEL J. ZEDAK

Mon. 6-

Officer in Charge
Marine Inspection
Battery Park Building
New York, NY 10004

16732/031557/BWC

DEC 6 1977

From: Investigating Officer, New York
To: Commandant (C-9811-1/83)
Via: (1) Officer in Charge, Marine Inspection, New York
(2) Commander, Third Coast Guard District (a)

Subject: SS PIONEER COMMANDER, O.N. 290905; grounding in Pentland Firth, Scotland
on 13 August 1977 with no personnel injuries

Findings of Fact -

1. At approximately 0150 on 13 August 1977, the SS PIONEER COMMANDER grounded in Pentland Skerries, Pentland Firth, U.K. There was no loss of life or injury as a result of the casualty.

2. Vessel data is as follows:

NAME: SS PIONEER COMMANDER
OFFICIAL NO: 290905
SERVICE: Freight
GROSS TONS: 11,105
NET TONS: 6,616
LENGTH: 531 ft.
BREADTH: 75.2 ft.
DEPTH: 29.3 ft.
PROPULSION: Steam
HORSEPOWER: 22,500
HOME PORT: New York
OWNER/OPERATOR: United States Lines, Inc.
MASTER: Arthur Scott
Lic 0454718, Master; Oceanus any gross tons (20)

LAST INSPECTION (For Certification)
Date: Completed 29 January 1977
Port: Charleston, S.C.

3. Weather at the time of the casualty was as follows:
Weather: Patchy fog with steadily decreasing visibility
Visibility: 5 miles
Winds: East at 2 knots

I.C. NY rpt 16732/071657

Air Temperature: 52°F
Sea Temperature: 58°F
Sea Conditions: 1 foot from the east
Swell: None

4. All times in this report are zone description -1.

5. THE SS PIONEER COMMANDER is equipped with the following electronic navigational aids:

Radar: RCA, 10 cm model CFM-N2A-30
Decca: Decca Mark 12 navigator
Loran: A and C, Sperry Mark 6
Gyro: Sperry Mark 14 Mod 2A
RDF: RCA Radio Marine AR 8714A
Fathometer: Bloodworth ES 116A

6. At 2130 on 11 August 1977 the SS PIONEER COMMANDER departed Bremerhaven, Germany enroute Bayonne, NJ at a speed of 16 knots. At the time of departure, the drafts of the vessel were recorded as 17'01" forward and 23'05" aft.

7. At 2200, the vessel obtained its last Decca position fix during the transit of the North Sea due to the loss of the southern chain. The vessel then commenced to DR its position till landfall. The Captain stated that the fathometer aboard the vessel was secured because the intended track line did not pass over any bottom configurations which would yield any navigational information.

8. At 0000 The Master of the SS PIONEER COMMANDER went to the bridge. He stated that it is his custom to be on the bridge two hours prior to making a landfall. Also on the bridge was the third officer, Mr. Charles Starr, Lic #481435, who was the watch officer.

9. The Master of the SS PIONEER COMMANDER stated that he consulted H. O. Pub. 114 to ascertain the characteristics of the lights he expected to encounter during the transit of Pentland Firth. H. O. Pub. 114 described the characteristics of the Pentland Skerries Light on Muckle Skerry as follows: Cp. Fl. W. (3) period 20s, fl. 0.4s, ec. 0.1s, fl. 0.4s, ec. 0.1s, fl. 0.4s, ec. 28.6s, H. O. Pub. 114 described the characteristic of Duncansby Head Light as follows: Fl. W. period 6s, fl. 0.7s, ec. 5.3s.

10. At 0015, the loom of an uncharted gas flare from an oil refinery on Flotta Island was sighted. At 0030, the loom of a light which appeared to flash every six seconds was sighted. Based on the six second period, the light was identified by the Master and the mate on the bridge as Duncansby Head Light (Pub. 114 List of Lights No. 7320). The light characteristics were observed visually and were not checked by a stop watch. At 0035, the Master suggested to the mate on watch that he come a little right based on a visual bearing on the six second flashing light. The mate on watch gave an order to come right to a new heading. The Captain then increased the amount of change and the vessel steadied up on a course of 320°T. At that time it was understood by both officers on the bridge that the Master had assumed navigational control of the vessel. The vessel was

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still approximately 20 miles from land by DR and the visibility was good. There was no indication of land on the radar. Both the Master and Mr. Starr have stated that they do not recall the radar range setting at this time. Both officers attempted to visually locate Pentland Skerry Light on Muckle Skerry (Pub. 114 List of Lights No. 7330) without success.

11. At 0100, a bearing $310^{\circ}T$ was obtained on the light they had concluded was Duncansby. The Master and Mr. Starr stated that the light on Muckle Skerry still had not been sighted. At 0125, the vessel changed course to $310^{\circ}T$ based on the visual bearing. At 0138, the vessel obtained a radar contact which was identified as Muckle Skerry by the Master. The radar was on the six mile scale at the time. Based on the radar contact, identified to be Muckle Skerry, the vessel came to the new course of $295^{\circ}T$ to open the target on radar. At this time, visibility started to decrease due to fog, which was closing in from the northwest.

12. At 0148, the vessel changed course to $310^{\circ}T$ based on a relative bearing taken by seaman's eye of the flashing light. This course change was a change to the base course for passage through Pentland Firth. As the vessel steamed on the new course, a quick flashing light was sighted off the starboard bow. During attempts to obtain a fix from the two available aids to navigation, the vessel grounded.

13. At approximately 0150 the SS PIONEER COMMANDER grounded in a position $117^{\circ}T$ range, one mile from Muckle Skerry Light. The vessel came to a stop, aground by her midbody, her bow and stern were in good water. The vessel had been making 15 knots since departing Bremerhaven and had not slowed her speed prior to the grounding.

14. Subsequent to the casualty, the Hydrographic Office issued a change to the published characteristic of Pentland Skerry Light on Muckle Skerry. This change appears in Notices to Mariners number 47 dated 19 November 1977. The characteristic listed is changed to Gp. Fl. W. (3) period 30s, fl. 0.4s, ec. 5.6s, fl. 0.4s, ec. 5.6s, fl. 0.4s, ec. 17.6s. (See enclosure 2).

15. The SS PIONEER COMMANDER was refloated on 20 August 1977 with the aid of commercial tugs after extensive lightering and ballasting operations.

16. Permanent repairs to the vessel are being made under the cognizance of the Officer in Charge, Marine Inspection, Rotterdam in the United Kingdom.

17. An agent for the Northern Lighthouse Board, the English agency responsible for the light on Muckle Skerry, has defined the characteristic for the aid to be Gp. Fl. W. (3) period 30s, fl. 0.4s, ec. 5.6s, fl. 0.4s, ec. 5.6s, fl. 0.4s, ec. 17.6s. The Northern Lighthouse Board has further stated that on the night of the casualty, the aid was watching properly. The characteristic of Pentland Skerry Light has not been changed since prior to January 1977. (See enclosure 4).

031

CONCLUSIONS

1. The master of the SS Pioneer Commander incorrectly identified the aid to navigation on Muckle Skerry as the aid to navigation on Duncansby Head.
2. Contributing to the incorrect identification was the incorrect listing in H.O. Pub for the characteristic of Pentland Skerries Light on Muckle Skerry.
3. The master of the SS Pioneer Commander incorrectly identified a radar image of land as Muckle Skerry instead of S Ronaldsay Island.
4. The proximate cause of the casualty was that the master of the SS Pioneer Commander based his navigation on an incorrectly identified aid to navigation during his transit of the area in the vicinity of Muckle Skerry in the Pentland Firth.
5. There is evidence of negligence on the part of the master of the SS Pioneer Commander, Captain Arthur Scott, Lic. No. 454718, in that he failed to maintain, or cause to be maintained, an accurate plot of the vessel's progress during the approach to Pentland Firth.

Recommendations

1. It is recommended that further investigation under the Suspension and Revocation Proceedings be initiated in the case of Arthur Scott, master of the SS Pioneer Commander concerning his part in the casualty.
2. It is recommended that this casualty investigation be closed.

D. W. Gold

- Encl: (1) CG Form 2692 re Pioneer Commander
 (2) Schematic representation of light characteristics of lights in the vicinity of Pentland Firth.
 (3) PORTION OF NO CHART 35141

FIRST ENDORSEMENT ON I.O. rpt 16732/031657

From: Officer in Charge, Marine Inspection, New York
 To: Commandant (G-MMI-1/83)
 Via: Commander, Third Coast Guard District (m)

1. Further investigation under the Suspension and Revocation Proceedings has been initiated in the case of Arthur Scott (MIO NY case no 84185)
2. Forwarded, approved.

HTB

I.O. NY rpt 16732/031657

- Conclusions -

1. The Master of the SS PIONEER COMMANDER incorrectly identified the aid to navigation on Muckle Skerry as the aid to navigation on Duncansby Head.
2. H. O. Pub. 114 did not list the correct characteristic for Pentland Skerry Light on Muckle Skerry on the date of the casualty.
3. The Pentland Skerry Light on Muckle Skerry was watching properly on the date of the casualty.
4. The correction to the characteristic listed for Pentland Skerry Light was not published until 19 November 1977 and was not known to the Master of the SS PIONEER COMMANDER on the date of the casualty.
5. Contributing to the incorrect identification was the incorrect listing in H. O. Pub. 114 for the characteristic of Pentland Skerries Light on Muckle Skerry.
6. The Master of the SS PIONEER COMMANDER incorrectly identified a radar image of land as Muckle Skerry instead of S Ronaldsay Island.
7. The proximate cause of the casualty was that the Master of the SS PIONEER COMMANDER based his navigation on an incorrectly identified aid to navigation during his transit of the area in the vicinity of Muckle Skerry in the Pentland Firth.
8. There is evidence of negligence on the part of the Master of the SS PIONEER COMMANDER, Captain Arthur Scott, Lic. No. 454718, in that he failed to maintain or cause to be maintained, an accurate plot of the vessel's progress during the approach to Pentland Firth.

- Recommendations -

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D. W. GOLD

- Encl: (1) CG 2692 re SS PIONEER COMMANDER
(2) Schematic representation of light characteristics of lights in the vicinity of Pentland Firth
(3) Portion of Chart No. 35141
(4) Ltr from Northern Lighthouse Board dtd 3 Oct 1977

031647



SEP 7 1977

United States Lines, Inc.

ONE BROADWAY, NEW YORK, N. Y. 10004 • (212) 344-5800 CABLE: SEAPOST

MARINE INSPECTION OFFICE
NEW YORK, N. Y.

Officer In Charge of Marine Inspection
Port of New York, N.Y.
United States Coast Guard
Battery Park Building
New York, N.Y. 10004

RECEIVED
U. S. COAST GUARD

ss Pioneer Commander
Voyage # 71/16
Newcastle Upon Tyne,
25 August 1977

SEP 07

MARINE INSPECTION OFFICE
NEW YORK

Dear Sir,

Enclosed please find original and two copies of CG 2692 - Report of Vessel

Casualty or Accident - for this vessel, grounded in Pentland Firth, U.K. at 0150 hours (0050 GMT) on 13 August 1977.

Refloated at 0327 hours (0227 GMT) on 20 August 1977, and proceeded under own power to Lyness Wharf, Hoy Island, Orkney (Scapa Flow) for bottom inspection and surveys.

Left Lyness Wharf at 1600 hours 23 August 1977.

Arrived Newcastle upon Tyne, U.K. at 1212 hours 24 August 1977 for further surveys and possible repairs.

I have the good fortune, after refloating my vessel, to report no loss of life nor personal injury to the member of my crew.

Respectfully yours,

Captain Arthur Scott,
Master, ss Pioneer Commander

Copies: Master's File
USL, New York.

... (U) ...
 ... (U) ...
 ... (U) ...

without delay, to the Officer in Charge, Marine Inspection, in whose district the casualty occurred, or in whose district the vessel first arrived after such casualty.
 2. If the person making the report is a licensed officer and is required to be manned by such officer, he must make the report in writing and in person to the proper Marine Inspector. If because of distance it may be inconvenient for such an officer to submit the report in person, he may submit the required number of copies by mail. However, to avoid delay in investigation, it is desired that reports be submitted in person.
 3. This form should be completed in full; blocks which do not apply to a particular case should be indicated as "N/A".
 Report all deaths and injuries, which incapacitate in excess of 72 hours, on CG-924E whether or not there was a vessel casualty.
 Attach separate Form CG-924E to this report for each person killed or injured and incapacitated in excess of 72 hours as a result of the vessel casualty reported herein

TO: **Officer in Charge, Marine Inspection, Port of NEW YORK, N.Y.** DATE SUBMITTED: **25 August 1977**

I PARTICULARS OF VESSEL

1. NAME OF VESSEL SS PIONEER COMMANDER		2. OFFICIAL NUMBER 290905		3. HOME PORT New York, N.Y.		4. NATIONALITY U S A	
5. TYPE OF VESSEL (Freight, passenger, etc.) Freighter		6. PROPULSION (Steam, diesel, etc.) Steam		7. GROSS TONNAGE 11,105		8. REGISTERED LENGTH OR L.O.A. 550' 06"	
9. HULL MATERIALS Steel		10. YEAR BUILT 1963		11. RADIO EQUIPMENT <input checked="" type="checkbox"/> TRANSMIT <input checked="" type="checkbox"/> RECEIVE <input checked="" type="checkbox"/> VOICE <input checked="" type="checkbox"/> CW (Key)			
12. (a) RADAR EQUIPPED <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO		13. (a) CERTIFICATE OF INSPECTION ISSUED AT PORT OF Charleston, S. C. U.S.A.		(b) DATE CERTIFICATE OF INSPECTION ISSUED 29 January 1977			
14. (a) NAME OF MASTER OR CAPTAIN (indicate which) Arthur Scott		15. (a) NAME OF PILOT (if on board at time of accident) N/A		(b) DATE OF BIRTH 24 Nov. 1921		(c) LICENSED BY COAST GUARD. <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	
15. (a) NAME OF OWNER(S), OPERATOR(S) OR AGENT (indicate which) UNITED STATES LINES, INC.				(b) ADDRESS OF OWNER(S), OPERATOR(S) OR AGENT One Broadway, New York, N.Y. 10004		(c) PILOT SERVING UNDER AUTHORITY OF LICENSE ISSUED BY <input type="checkbox"/> USCG <input type="checkbox"/> STATE <input type="checkbox"/> FOREIGN	

II PARTICULARS OF CASUALTY

17. (a) DATE OF CASUALTY 13 August 1977		(b) TIME OF CASUALTY (Local or zone) 0150		(c) ZONE DESCRIPTION Minus 1		(d) TIME OF DAY <input type="checkbox"/> DAY <input checked="" type="checkbox"/> NIGHT <input type="checkbox"/> TWILIGHT	
18. LOCATION OF CASUALTY (Latitude and longitude; distance and TRUE bearing from charted object; dock; anchorage, etc.) Position: Lat: 58° 24' N; Long: 02° - 53.6' W.							
19. BODY OF WATER (Geographical name) Pentland Firth, U.K.		20. RULES OF THE ROAD APPLICABLE <input checked="" type="checkbox"/> INTERNATIONAL <input type="checkbox"/> INLAND <input type="checkbox"/> GREAT LAKES <input type="checkbox"/> WESTERN RIVERS <input type="checkbox"/> OTHER (Specify)					
21. (a) DID CASUALTY OCCUR WHILE UNDERWAY: <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO		(b) IF YES, LAST PORT OF DEPARTURE Bromerhaven, Germany					
22. (a) WEATHER CONDITIONS WHEN CASUALTY OCCURRED: <input type="checkbox"/> CLEAR <input type="checkbox"/> PARTLY CLOUDY <input type="checkbox"/> OVERCAST <input checked="" type="checkbox"/> FOG <input type="checkbox"/> RAIN <input type="checkbox"/> SNOW <input type="checkbox"/> OTHER (Specify)		(c) IF YES, WHERE BOUND WHEN CASUALTY OCCURRED Bayonne, N.J. U.S.A.					
(b) VISIBILITY (Miles, yards, etc.) From moderate to zero		(c) WIND DIRECTION East		(d) FORCE IN KNOTS 2 knots		(e) GUSTY <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	
23. (a) SEA CONDITIONS WHEN CASUALTY OCCURRED Light sea		(b) SEA WATER TEMP (if available) 58°F		(c) HEIGHT OF SEA 1 foot		(d) AIR TEMPERATURE 52°F	
24. (a) NATURE OF CARGO (Specify) Motor vehicles and Containers		(b) AMOUNT OF DRY CARGO (Long tons) 757 Tons		(c) AMOUNT OF BULK LIQUID (Long tons) N/A		(d) AMOUNT OF DECK LOAD (Long tons) 21 1/2 Tons	
25. (a) DRAFT FORWARD 17' - 01"		(b) DRAFT AFT 25' - 05"					
26. (a) TYPES OF LIFESAVING EQUIPMENT USED, IF ANY N/A		(b) NO LIVES SAVED WITH LIFESAVING EQUIPMENT None		(c) LIFESAVING EQUIPMENT SATISFACTORY <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO (If no, explain in block)			

Pentland F.

PC:

ESTIMATED LOSS/DAMAGE TO OTHER PROPERTY \$
(Specify whether vessel, deck, bridge, etc.)

29. NATURE OF THE CASUALTY (Check one or more of the following. Give pertinent details in Item 30.)	
COLLISION WITH OTHER VESSEL(s) (Specify)	EXPLOSION/FIRE (Other)
	GROUNDING
	FOUNDER (Sinking)
COLLISION WITH FLOATING OR SUBMERGED OBJECTS	CAPSIZING WITHOUT SINKING
COLLISION WITH FIXED OBJECTS (Piers, bridges, etc.)	FLOODING, SWAMPING, ETC. WITHOUT SINKING
COLLISION WITH ICE	HEAVY WEATHER DAMAGE
COLLISION WITH AIDS TO NAVIGATION	CARGO DAMAGE (No vessel damage)
COLLISION (Other)	MATERIAL FAILURE (Vessel structure)
EXPLOSION/FIRE (Involving cargo)	MATERIAL FAILURE (Engineering machinery, including main propulsion, auxiliaries, boilers, evaporators, deck machinery, electrical, etc.)
EXPLOSION/FIRE (Involving vessel's fuel)	EQUIPMENT FAILURE
FIRE (Vessel's structure or equipment)	CASUALTY NOT NAMED ABOVE
EXPLOSION (Galleys and associated parts)	
EXPLOSION (Pressure vessels and compressed gas cylinders)	

30. DESCRIPTION OF CASUALTY (Events and circumstances leading to casualty and present when it occurred. Attach diagrams and additional sheets, if necessary)

Grounded in Pentland Firth on Skerries, Bearing 177°T, Dist. 1 mile from Muckle Skerry Light.

31. DAMAGE (Give brief general description and state if vessel is a total loss.)

Unknown at this time. Subject to dry dock examination. Re-floated 20 August 1977 at 0327 (-1) hours. Proceeded to Lyness Wharf, Scapa Flow for inspections and to Newcastle-Upon-Tyne for surveys and repairs. Arrived Newcastle 1212 (-1) hours 24 August 1977.

I.O. NOTE The vessel's bottom plating was set in and holed in various locations. There is damage to internals and tank-top plating concentrated in number three and number four holds.

III ASSISTANCE AND RECOMMENDATIONS

32. AUTO ALARM TRANSMITTED BY YOUR VESSEL: YES NO MAYDAY broadcast and answered.

33. (a) ASSISTANCE RENDERED BY STATIONS AND VESSELS (Include Coast Guard and other stations and vessels)

Orkney radio, Orkneys and Wick radio Scotland, performed valuable assistance in communications via VHF radio.

(b) OTHER ASSISTANCE RENDERED

Wick, Scotland, lifeboat and Longhope, Orkney, lifeboat stood by.

34. RECOMMENDATIONS FOR CORRECTIVE SAFETY MEASURES PERTINENT TO THIS CASUALTY (Include explanation of unsatisfactory lifesaving equipment)

None at this time.

TITLE
Arthur Scott, Master, SESPIONEER CO-COMMANDER

SIGNATURE
A. Scott

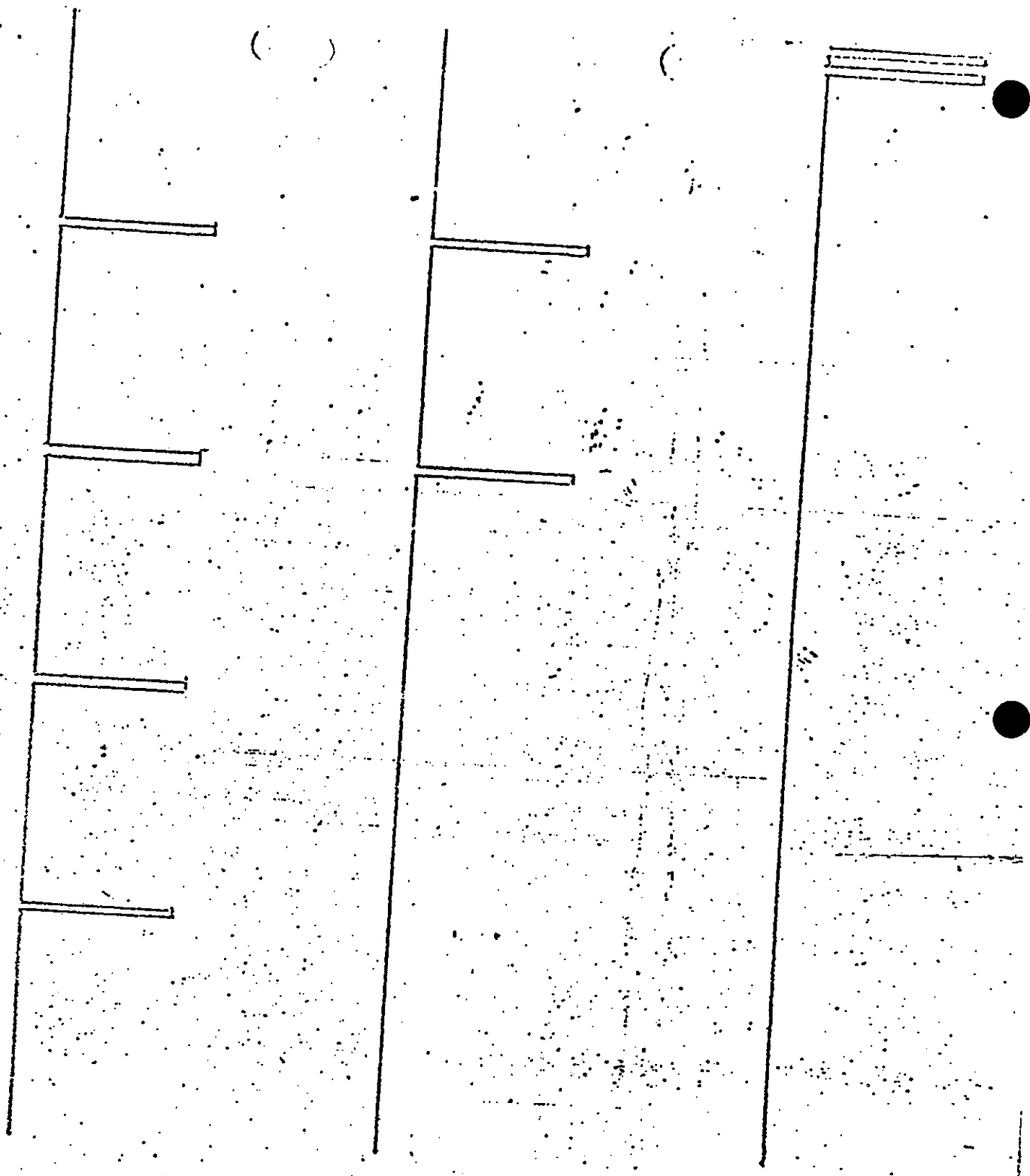


CHART 35120

SUBMARINE

EXERCISE

AREA

MORAY FIR II
GROUND

MAGNETIC

VAR 9°00'W (197
ANNUAL CHANGE

SMITH
BANK

FIR 10 sec

RY

01003
DIR 34

Spec 17M
TREN Racon

Spec 15M
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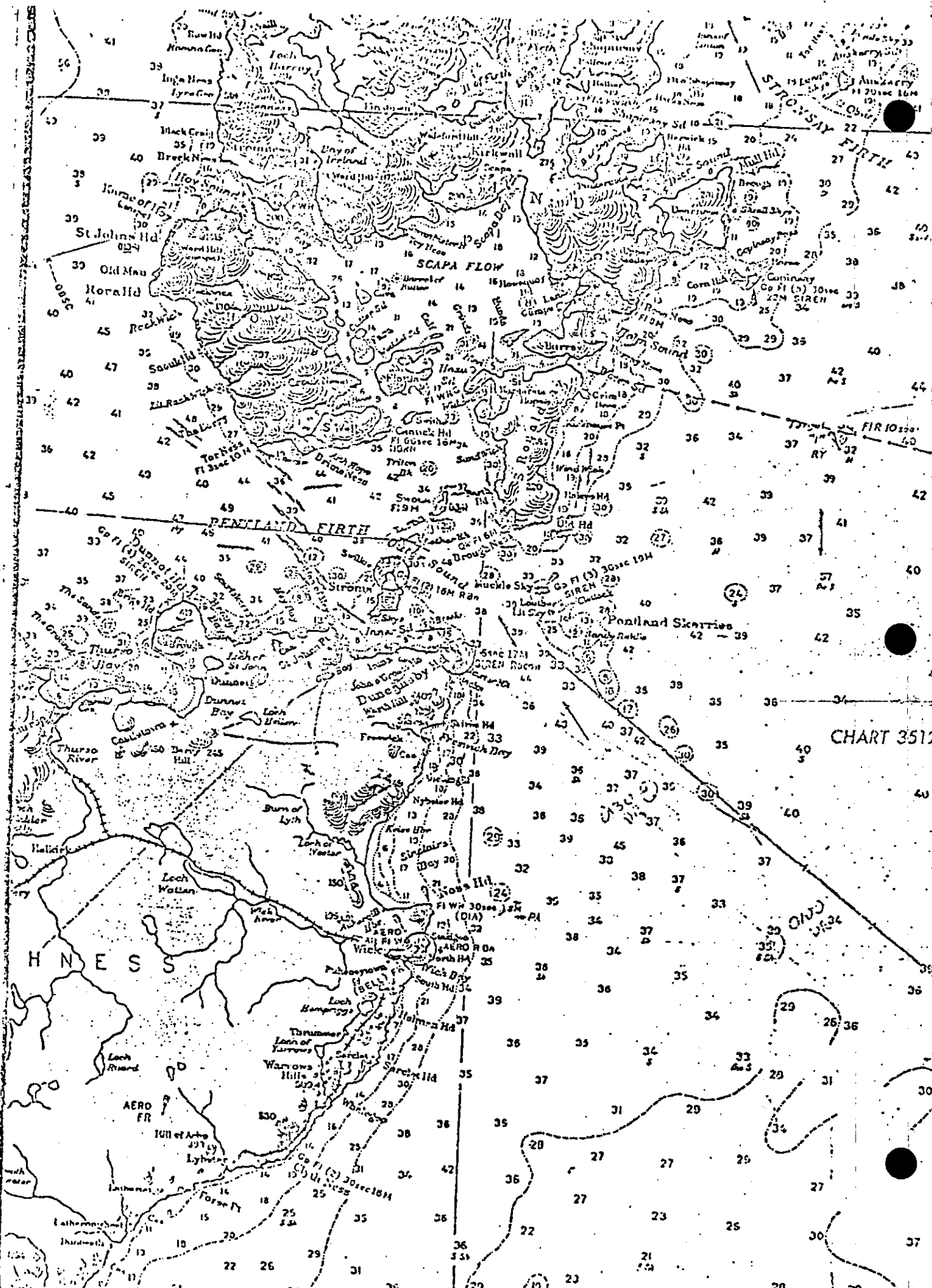


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11/17/77

NOTICE TO MARINERS

Wm Room
H. H. H.

PUBLISHED WEEKLY BY THE
DEFENSE MAPPING AGENCY HYDROGRAPHIC CENTER

PREPARED JOINTLY WITH THE
NATIONAL OCEAN SURVEY AND U.S. COAST GUARD



RECEIVED
LIC. & CERT. SEC.

NOV 17 1977

MARINE INSPECTION OFFICE
NEW YORK, N.Y.

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19 NOVEMBER

SECTION II
CORRECTIONS TO PUB 112, LIST OF LIGHTS, 21 MAY 1977 EDITION— Continued

15310 F 2502	Son Ngwael Island, about 200 feet from NW. extremity.	12 43 123 35	Gp. Fl. W. (3)..... period 15 ^s	222 68	5 Concrete tower; 36.....	Visible 6°-203°.	47/77
18863	— W. breakwater.....	37 03 129 25	Fl. G..... period 3 ^s	36 11	2 White quadrangular iron framework; 27.		47/77
18870 F 4426	— E. head of detached breakwater.	36 41 129 28	Fl. G..... period 5 ^s	30 9	2 White square iron framework tower; 22.		47/77
18930 F 4470	— Head of S. breakwater...	36 30 129 27	Fl. G..... period 3 ^s	33 10	2 White square iron tower; 30.		47/77
18950 F 4425	— No. 1 Light, head of W. breakwater.	Fl. G..... period 3 ^s	30 9	5 White square iron framework structure; 32.		47/77
22000 F 3600	Hsiung-Ti Tso	23 32 117 41	Gp. Fl. W. (3)..... period 6 ^s	5		47/77
24235 F 2855.7	Pulau Perhentian Besar	5 53 102 45	Fl. W..... period 7 ^s	145 44	5 Pedestal on rock		47/77
35000 K 0104	— Extension of S. breakwater.	35 57 25 39	Fl. W..... period 2 ^s	Marks works in progress (1977)	47/77

CORRECTIONS TO PUB 113, LIST OF LIGHTS, 15 JANUARY 1977 EDITION

8355 E 0518	Cop Louate	42 55 3 03	Gp. Fl. W. (2)..... period 10 ^s fl. 0.2 ^s , ec. 7.3 ^s fl. 0.2 ^s , ec. 2.3 ^s	216 66	21 White pyramidal tower, red top; 57.		47/77
15251	— Refuge harbor, head of west mole.	F. R.....	26 8	4 Pile, red and white bands..		47/77
15252	— Head of wharf.....	F. R., F. G. (vert.)	43 13	4 Pile, red and black bands..		47/77
41351 D 5834	— Marcus Island, S. side...	33 03 17 53	Gp. Fl. W. (2)..... period 10 ^s fl. 5 ^s , ec. 2.5 ^s fl. 0.5 ^s , ec. 6.5 ^s	59 18	10 Lattice mast.....		47/77
41356 D 5833	— Eland Point.....	33 04 17 58	Fl. W..... period 5 ^s	114 35	9 Metal framework tower.....		47/77

CORRECTIONS TO PUB 114, LIST OF LIGHTS, 6 AUGUST 1977 EDITION

7330 A 3562	Pentland Skerries, on Muckle Skerry.	58 41 2 55	Gp. Fl. W. (3)..... period 30 ^s fl. 0.4 ^s , ec. 5.6 ^s fl. 0.4 ^s , ec. 5.6 ^s fl. 0.4 ^s , ec. 17.6 ^s	170 52	19 White tower; 118.....	Siren (old lighthouse) 1 bl. ev 90° Distress signals.	47/77
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Note.—*Indicates that column in which a correction has been made or new information added.

KIRLIN, CAMPBELL & KEATING

ONE TWENTY BROADWAY

NEW YORK, N. Y. 10005

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OUR REF. 84928

BY HAND

Officer in Charge
Marine Inspection
United States Coast Guard
Battery Park Building
New York, N. Y. 10004

Attention: Lt. Gold

SS PIONEER COMMANDER

Stranding, August 13, 1977

Your Ref: 16732/031657/DWG

Dear Lt. Gold:

Pursuant to our telephone conversation this morning, we received the following information concerning the Muckle Skerry Light from our correspondent counsel in England:

"RE YOUR TELEX 11TH OCTOBER. DETAILS OF PENTLAND SKERRIES LIGHT IN RELEVANT PUBLICATION (ADMIRALTY LIST OF LIGHTS AND FOG SIGNALS, VOLUME A.1977, BRITISH ISLES AND NORTH COAST OF FRANCE) AS FOLLOWS:-

1. NO. 3562
2. NAME-POSITION PENTLAND SKERRIES, MUCKLE SKERRY (N)
3. LAT./LONG 58 41.4
2 55.4
4. CHARACTERISTICS GP.FL (3)W 30S
INTENSITY SIREN 90 S.
5. ELEVATION 52 METRES
6. LUMINOUS RANGE 25
7. STRUCTURE HEIGHT IN WHITE TOWER 36 METRES
8. REMARKS FL 0.4, 3 TIMES IN QUICK SUCCESSION.
DISTRESS SIGNALS.

"THE PUBLICATION IS STATED TO BE CORRECTED TO
ANM WEEKLY EDITION NO. 1/77 DATED 15TH JANUARY 1977.

OUR ENQUIRIES AFTER THE STRANDING REVEALED THAT NO
CORRECTIONS REGARDING ENTRY FOR PENTLAND SKERRIES LIGHT
HAD BEEN MADE SINCE DATE OF PUBLICATION UP TO 13TH AUGUST

Subsequent to that, we received a copy of a letter from
the Northern Lighthouse Board to our correspondent counsel which
details the characteristics of Muckle Skerry Light and we enclose
a copy for your reference.

If you have any further questions, please do not hesitate
to call us.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

BY:


Harry A. Gotimer

HAG:tfc.

Enc.

PUB. 114

LIST OF LIGHTS

AND FOG SIGNALS

1976

(28 August)

IMPORTANT
THIS PUBLICATION SHOULD
BE CORRECTED EACH
WEEK FROM THE
NOTICE TO MARINERS

BRITISH ISLES, ENGLISH CHANNEL
AND NORTH SEA



PUBLISHED BY THE DEFENSE MAPPING AGENCY
HYDROGRAPHIC CENTER
WASHINGTON, D.C. 20390

(1) No.	(2) Name and location	(3) Position lat. long.	(4) Characteristic	(5) Height	(6) Range (miles)	(7) Structure, height (feet)	(8) Sector. Remarks. Fog signals
SCOTLAND-NORTH COAST							
7320 A 3558	Dunconaby Head.....	N. W. 58 39 3 01	Fl. W..... period 6 ^s fl. 0.7 ^s , ec. 5.3 ^s	220 67	17	White tower; 36.....	Siren: 5 bl. ev. 2 min. Racon.
7330 A 3567	Pentland Skerries, on Muckle Skerry.	58 41 2 55	Gp. Fl. W. (3)..... period 30 ^s fl. 0.4 ^s , ec. 0.1 ^s fl. 0.4 ^s , ec. 0.1 ^s fl. 0.4 ^s , ec. 28.6 ^s	170 52	19	White tower; 118.....	Siren (old lighthouse) 1 bl. ev. 90 ^s Distress signals.
7340 A 3566	Lother Rock	58 44 2 59	Ok. Fl. W.....	36 11	6	Black pyramidal beacon; 40.	
7350 A 3568	Stroma, Swilkie Point	58 42 3 07	Gp. Fl. W. (2)..... period 20 ^s 2 fl. each 0.5 ^s	85 26	16	White tower; 74.....	Horn: 2 bl. ev. 60 ^s in quick suc- cession. Radiobeacon. Distress signals.
7360 A 3576	Dunnet Head	58 40 3 22	Gp. Fl. W. (4)..... period 30 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 14 ^s	346 105	20	White stone tower; 66	Siren: 3 bl. in quick succession ev. 90 ^s .
7370 A 3578	Holburn, Little Head, W. side of Thurso Bay.	58 37 3 32	Fl. W. R..... period 10 ^s fl. 1 ^s , ec. 9 ^s	75 23	W. 15 R. 11	White tower; 55	W. 198°-358°, R. -shore. Horn: 1 bl. ev. 20 ^s .
7372 A 3590	Strathly Point.....	58 36 4 01	Fl. W..... period 20 ^s fl. 0.5 ^s , ec. 19.5 ^s	146 45	18	White low tower on white dwelling; 45.	Diaphone: 4 bl. ev. 90 ^s .
7380 A 3580	Thurso, N. head of break- water.	58 36 3 30	F. R.....	15 5	4	Red post; 10.....	Shown from Sept. 1 to Apr. 30.
7390 A 3582	— Front		F. G.....	15 5	4	White post; 10.....	
7390.1 A 3582.1	— — Rear, about 195° from front.		F. G.....	20 6	4	White post; 15.....	
7400 A 3586	Scrabster Harbor, head of E. pier.	58 37 3 33	F. W.....	10 3	4	White post; 9.....	Shown from Aug. 1 to May 31.
7401 A 3583	— Outer pier	58 37 3 33	Ok. Fl. R.....		3		
7410 A 3586	— Head of W. pier		F. R.....	10 3	4	White circular tower; 9 ... f	Shown from Aug. 1 to May 31.

SCOTLAND-ORKNEY ISLANDS

7420 A 3566	Swona, near SW. extremity...	58 44 3 04	Fl. W..... period 8 ^s fl. 2 ^s , ec. 5 ^s	57 17	9	White tower; 22.....	Obscured 210°-261°.
7430 A 3500	Ter Ness, S. side of Hoy Island.	58 47 3 13	Fl. W..... period 3 ^s fl. 1 ^s , ec. 2 ^s	64 20	9	White tower on concrete base; 22.	
7440 A 3502	Comick Head	58 47 3 08	Fl. W..... period 20 ^s fl. 0.5 ^s , ec. 19.4 ^s	115 35	17	White tower; 73.....	Storm signals. Horn: 1 bl. ev. 30 ^s . Distress signals.

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OF COUNSEL

CHARLES MAECHLING, JR.

February 23, 1979

Director,
DMA Hydrographic Center
Washington, D.C. 20390

OUR REF. 84928

Re: Freedom of Information Act Request

Dear Sir:

On behalf of our client, United States Lines, Inc., and pursuant to the Freedom of Information Act (5 U.S.C. §552) and your regulations implementing it (15 C.F.R. Part 295), we hereby request that you furnish us with copies of the following documents. The term "records" as used herein shall be defined as in accordance with 15 C.F.R. Part 295 § 295.4, and shall include the British Admiralty weekly Notices to Mariners if used by your agency.

1. With regard to Muckle Skerry Light contained in the List of Lights, Pub. 114, 1976 Edition, Light No. 7915, all records referred to or relied upon in preparation of that entry, as well as all changes from 1938 to the present.
2. With regard to Pentland Skerries Light on Muckle Skerry contained in the List of Lights, Pub. 114, 1976 Edition, Light No. 7330, all records referred to or relied upon in preparation of that entry, as well as all changes from 1938 to the present.

This request constitutes notice of demand for production of the above-referenced documents for purposes of inspection and copying. If for any reason it is determined that any documents requested herein will not in whole or in part be complied with, prompt notice of any action taken is solicited. In addition, the

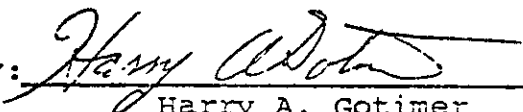
undersigned requests notice as promptly as possible of all documents or portions of documents which can and will be made available and that all documents which will not be made available be indexed and identified by stating the title, author, date, nature of such material, and the reason(s) for nonavailability.

This demand shall be considered an appeal from any decision denying any portion of this request, and prompt notice of the action taken with respect to such appeal is requested.

Please advise the undersigned of the cost imposed pursuant to your regulations for complying with this request and it shall be promptly paid.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

By: 
Harry A. Gotimer

HAG:tfc.



DEFENSE MAPPING AGENCY
HYDROGRAPHIC/TOPOGRAPHIC CENTER
WASHINGTON, D.C. 20315

REPLY TO
ATTENTION OF:
DMAHTC-CO

12 MAR 1979

Kirlin Campbell and Keating
ATTN: Harry A. Gotimer, Esq.
120 Broadway
New York, NY 10005

Your reference: 84928

Dear Mr. Gotimer:

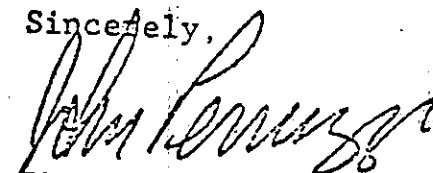
We refer to your letter of 23 February 1979 in which you requested inspection and copying of documents relating to Muckle Skerry Light and Pentland Skerries Light, under the Freedom of Information Act.

Your letter was received in the cognizant office of this Center on 8 March 1979, and it will be necessary to search for, collect and examine a number of records to comply with your request.

We will advise you as soon as the available documents have been identified and the costs determined, so that you can decide whether you wish to inspect them or have copies sent to you.

Please note the change in our name and address which became effective on 18 September 1978.

Sincerely,


JOHN E. PERRUZZI
Counsel

Blind cc:
NV

DIRECTIONS

General.—Large vessels, with sufficient power to stem an unfavorable tide, will experience no difficulty in navigating Pentland Firth. The shores are danger-free beyond a short distance off, and the channels are wide and deep. Outer Sound is the channel generally used, although Inner Sound may be used when the tidal currents are unfavorable.

At night Outer Sound only should be used. The light on Muckle Skerry in range with the light on the N end of Stroma, bearing 094°, leads through the W entrance of Pentland Firth. When about 2 miles W of the light on Stroma, vessels should edge N so as to give the light a berth of about ½ mile. After passing the island of Stroma, vessels should gradually bring the light on the S end of the island of Swona to bear 526° astern, maintaining this bearing to pass between Duncansby Head and Pentland Skerries.

In hazy weather extreme caution is necessary, and in foggy weather, vessels from W should not proceed E of Strathy Point, which lies about 20 miles W of the W entrance point.

Vessels proceeding W through Inner Sound, during the strength of the E current, after passing Huna Ness, should keep somewhat N, in order to avoid being set toward Quoys Ness and into Gills Bay.

Directions.—Low-Powered Vessels.—The following directions are given for low-powered vessels that may experience some difficulty in navigating the firth. A pilot should be employed by those low-powered vessels that are not familiar with the navigation of the firth.

The term, low-powered vessels, applies to vessels capable of a speed of no more than 10 knots.

Vessels approaching from W with the E current, when within 1½ miles of Stroma, and intending to pass through Inner Sound, should keep Duncansby Head bearing less than 110° and open S of Mell Head, to avoid getting out of the fair current. No special directions are necessary until well up to St. John's Point, when Inner Sound should be used if at the early part of the current, and Outer Sound if at the latter part. Vessels must take care in the latter case to avoid the eddy on the E side of Stroma, and to keep in mid-channel between Duncansby Head

and the Pentland Skerries so as to retain the last of the E current.

Outer Sound is always to be preferred by large vessels because of its width and the rate of the fair current, but not of course with an adverse current.

Vessels approaching from W during the W current, if the sea is not too heavy, should approach Dunnet Head to a distance of about ½ mile, and then steer directly for the center of Stroma, under which there will be less sea and current. Vessels that cannot stem the adverse current should keep near the E side of Dunnet Head, haul into Brough Bay, and keep within ½ mile of the coast thence to St. John's Point. When thus far, if the current continues strong, they should stand right across the race named the Merry Men of Mey into the eddy W of Stroma. Thence, from close under Mel Head, they should steer across into Gills Bay, and along the coast, within ½ mile of it, until Duncansby Head has been rounded. Alternately they may keep to the N side of the channel, for on either side of Inner Sound slack water and possibly a fair eddy current will be experienced while the main current in the center of Inner Sound is W.

Vessels approaching from W in thick weather are advised to heave to abreast Strathy Point, and on no account should attempt to pass through the firth.

Vessels approaching from W, at night, if Holborn Head has been identified before dark, are advised to anchor in Scrabster Road and await the E current. With normal visibility and a fair current the directions given for full-powered vessels will apply.

Vessels approaching from SE, during the easterly current, should keep close to the coast northward of Freswick Bay, the N entrance point of which is located about 3 miles S of Duncansby Head Light, for along this coast to Duncansby Head there are 10 hours of slack water, and there is probably also a N eddy, during part, at least, of this period. By doing this a vessel will be ready to round the head at the turn of the current, whereas by keeping in mid-channel over toward the Pentland Skerries, where the SE current continues for about 1 hour after high water at Dover, the risk is run of being carried SE. In rounding Duncansby Head, care must be taken to avoid the several dangers lying close off it.

20 MAR 1979

DMAHTC-NVS G.R.DeYoung/GS/14/73149/bhf/16 Mar 79/R.S. None

Kirlin, Campbell & Keating
Attn: Mr. Harry A. Gotimer, Esq.
120 Broadway
New York, N.Y. 10005

Your Reference: 84928

Dear Mr. Gotimer:

In response to your request of 23 February 1979, in which you requested inspection and copying of documents relating to Muckle Skerry Light and Pentland Skerries Light, the following is submitted:

MUCKLE SKERRY LIGHT (PUB. 114, NO. 7915)

Muckle Skerry Light was first published by this Center as an addition to Pub. 114 in Weekly Notice to Mariners No. 46, dated 14 November 1964 (Enclosures 1 and 2), and incorporated in Change 4 to Pub. 114, dated 26 December 1964 (Enclosure 3). The source of this information was the British Admiralty Weekly Notice to Mariners No. 38 of 1964, Sections II and V. Individual Admiralty Notice to Mariners are not retained by this Center, therefore we are unable to provide copies of the original source material. However, the British Admiralty does provide this Center with bound copies of the chart correction portion (Section II) annually. A copy of the British Notice establishing Muckle Skerry Light is provided (Enclosure 4).

The range and candlepower of Muckle Skerry Light was amended in Change 13 to Pub. 114, dated 21 October 1967 (Enclosure 5). Presumably the source for this correction was the British Admiralty List of Lights, Volume A of that era. This Center does not retain obsolete or canceled foreign List of Lights, consequently we are unable to confirm or provide a copy of this source.

The international number for Muckle Skerry Light was changed in Change 18, dated 28 June 1969 (Enclosure 6). The source for all international numbers is the British Admiralty List of Lights of the era. As stated above, obsolete or canceled foreign List of Lights are not retained.

The candlepower of Muckle Skerry Light was deleted in the 1973 edition of Pub. 114 (Enclosure 7) and the height in meters added. These changes were editorial format changes only, with no reference made to other documents.

At the time of this writing there has been no known change to Muckle Skerry Light since the 1973 edition of Pub. 114.

PENTLAND SKERRIES LIGHT (PUB. 114, NO. 7330), (FORMERLY PUB. 33)

Pentland Skerries Light as carried in the 1937 edition of H.O. Pub. 33 is provided as Enclosure 8. The first modification to this entry was in the 1948 edition of H. O. Pub. 33 (Enclosure 9), when the index number was changed. This was an editorial change with no reference made to other documents.

The next published change occurred in the 1954 edition of H.O. Pub. 33 (Enclosure 10) when the international number was added. The source for the international number was the British Admiralty List of Lights of that era (not retained). At the same time the index number was again changed and light characteristic editorialized without reference to other documents.

The candlepower, structure description and fog signal characteristic description were amended in the first edition (November 1959) of Part III to H.O. Pub. 33 (Enclosure 11). The source material for these amendments was not retained.

The structure description and remarks column were amended in the Third Edition of Pub. 114 dated 14 September 1963 (Enclosure 12). The source material for these amendments was not retained.

The next change pertaining to Pentland Skerries Light was in Change 5 of 27 March 1965 (Enclosure 13). Your Office was advised of this amendment in our letter of 14 November 1977.

The international number and remarks column were amended in Change 18 of 23 June 1969 (Enclosure 14), again source material was not retained.

Height in meters was added to Pentland Skerries Light in Change 20 issued January 1971 (Enclosure 15) and the candlepower was deleted from the 1973 edition of Pub. 114 (Enclosure 16). These were editorial format changes where reference to other documents was not made.

The next and final change to Pentland Skerries Light was provided as Attachment B to your letter of 14 October 1977 (Enclosure 17). This information was published in Notice to Mariners No. 47 of 19 November 1977 (Enclosure 18), and included in the 1978 edition of Pub. 114 (Enclosure 19).

DMA Instruction 5400.7A requires that a charge of two hundred sixty-four dollars be assessed for providing copies of these documents. Please make your check in this amount payable to the Treasurer of the United States and forward it to the undersigned.

Sincerely,

15/

JOHN E. PERRUZZI
Counsel

19 Enclosures a/s

cc:
NV
DMAHQ-Counsel
DMAHTC-Counsel
NVS

(6071) ORKNEY ISLANDS—North Ronaldsay—Nouster—Light changed.—
The light ($59^{\circ}21'25''$ N., $2^{\circ}26'25''$ W. approx.) has been changed to *Ok. Fl. R.*
(N.M. 46/64.)

(N.M. 37(1728). London, 1964.)
H.O. Chart 4465.
H.O. Pub. 114, No. 7730.
H.O. Pub. 34, 1950, page 163.

(6072) SHETLAND ISLANDS—Out Skerries—Muckle Skerry—Light estab-
lished.—A light, *Gp. Fl. W.R.G. (2) 10 sec. 44 ft. 10, G. G.M.* has been established
4.13 miles $282^{\circ}30'$ from Out Skerries Light ($60^{\circ}27'30''$ N., $0^{\circ}43'36''$ W. approx.).
The light shows *white* from 046° to 192° , *red* thence to 272° , *green* thence to 348° ,
white thence to 373° , *red* thence to 046° . It is shown from a white framework
tower, 11 feet high.

(N.M. 46/64.)

(N.M. 38(1758). London, 1964.)
H.O. Charts 4656, 4669, 4442, 4243.
H.O. Pub. 114, No. 7915.
H.O. Pub. 34, 1950, page 314.

(6073) ENGLAND—East coast—River Thames Entrance—East Swin—
Wreck.—A depth of 6 fathoms 3 feet "Wreck" will be charted 1.28 miles $002^{\circ}30'$
from Little Sunk Beacon ($51^{\circ}41'55''$ N., $1^{\circ}24'50''$ E. approx.).

(N.M. 46/64.)

(N.M. 37(1728). London, 1964.)
H.O. Chart 4473.
H.O. Pub. 35, 1951, page 212.

(6074) NORTH SEA—Belgium—Wester Schelde—Zeebrugge approach—
Buoy moved and numbered.—The lighted buoy ($51^{\circ}20'50''$ N., $3^{\circ}12'18''$ E.
approx.) has been moved and reestablished in $51^{\circ}20'57.5''$ N., $3^{\circ}12'52.5''$ E. and
numbered "22."

(Cancel N.M. 40(5180) 1964.)

(N.M. 46/64.)

(Aa.N. 15(168). Oostende, 1964.)
H.O. Chart 4994.
H.O. Pub. 36, 1959, page 116.

No.	Name and location	Position, lat., long.	Characteristics and power	Light high water (feet)	Range nomi- nal (miles)	Structure, height (feet)	Notes, Remarks, Day signals.
7730 A1714	— Nouster, on head of pier.	59 21 2 20	Qk. Fl. R.----- .	18			Shown from Aug. 1 to Apr. 30. 40/04.
7015 A2810	Muckle Skerry----- U.	60 26 0 52	Gp. Fl. W.R. G. (2) period 10* fl. 0.3*, cc. 1* fl. 0.3*, cc. 8.4* Cp. W. 600 R. 120 G. 120	44	W. 10 R. 6 G. 6	White framework tower; 11.	W. 46°-192° R.-272° G.-348°, W.-353°, R.- 40°. 40/04.
13120 A1104	South Stack-----	53 18 4 42	Fl. W.----- period 10* fl. 0.5*, cc. 9.5* Cp. 2,500,000	197	20	White circular tower, dwellings; 91.	Obscured to the N. by North Stack. Tele- phone for lifesaving. Distress signals. Horn: 1 bl. ev. 30*. 40/04.
20100 D0118	NOORD HINDER LIGHTSHIP	51 39 2 33	Gp. Fl. W. (2)--- period 10* fl. 0.3*, cc. 2.2* fl. 0.3*, cc. 7.2* Cp. 1,300,000	52	12	Red hull, name on sides, black letters on white.	Reserve light F.W. with 2 W. flares ev. 10 min. Diaphone: 2 bl. ev 30*. Reserve whistle. Radar beacon. Storm signals. 40/04.

Note.—*Indicates that column in which a correction has been made or new information added.

No.	Name and location	Position lat., long.	Characteristic and power	Height of light above high water (feet)	Visi- bility (nau- tical miles)	Structure, height (feet)	Sectors. Remarks. Fog signals
SCOTLAND-SHETLANDS							
7870 A 2794	Ross Head, E. point U.	N. W 60 11 1 08	Gp. Fl. W. R. G. (3) .. period 18" fl. 0.5", ec. 1.5" fl. 0.5", ec. 1.5" fl. 0.5", ec. 13.5" Cp. W. 500 R. 300 G. 200	33	10	White tower; 22.....	G. from land-173°, E.-196° R.-241°, W.-264°, G.-9° E.-land.
7880 A 2795	Hill of Eswick, 0.5 mile from N. extremity. U.	60 16 1 06	Fl.—W. R. G period 3" fl. 0.5", ec. 2.5" Cp. W. 1,500 R. 500 G. 300	164	15	White tower; 22.....	G. 148°-200°, W-214°, R.-241° E.-29°, R.-land.
7890 A 2802	WHALSAY: Symbister Ness, 600 yards from SW. point. U.	60 20 1 02	Gp. Fl. W. R. (2)..... period 12" fl. 0.5", ec. 1.5" fl. 0.5", ec. 9.5" Cp. W. 500 R. 200	37	10	White tower; 22.....	W. 3°-197°, R.-215°, obsc-3°.
7900 A 2804	Suther Ness..... U.	60 22 1 03	Fl. W. R. G..... period 3" fl. 0.5", ec. 2.5" Cp. W. 1,500 R. 500 G. 300	27	9	White tower, 22.....	W. from land-41°, G.-123° W.-206°, R.-235°, obsc. elsewhere.
7910 A 2808	Out Skerries, Bound Skerry ..	60 25 0 43	Fl. W..... period 60" fl. 5", ec. 55" Cp. 159,000	145	18	White tower 95.....	Radiotelephone. Gun: 1 report ev. 30°.
7915 A 2810	Muckle Skerry..... U.	60 26 0 52	Gp. Fl. W. R. G. (2) .. period 3" fl. 0.3", ec. 1.0" fl. 0.3", ec. 8.3" Cp. W. 600 R. 120 G. 120	44	W. 10 R. 6 G. 6	White framework tower, 11	W. 46°-192°, R.-272°, G.-348° W.-353°, R.-46°.

ADMIRALTY NOTICES TO MARINERS

1784. WEATHER BULLETINS FOR SHIPPING ISSUED ON THE B.B.C. LIGHT PROGRAMME.

Former Notice 1579(P)/64 cancelled.

The mid-day "5-minute" shipping forecast on weekdays on 200 kc/s (1500 metres) is now broadcast at 1355 clock time.

Hydrographic Department. (H. 2254/64.)

*1785. SCOTLAND, E. COAST—RIVER FORTH—Forth Road Bridge—Construction completed.

Former Notice 453(T)/64 cancelled.

The Forth Road bridge is shown in *Large Corrections to Charts 116 and 119*, dated 4th September, 1964, which will be available shortly. *Charts 114^a and 114^b* will be corrected by a Notice to Mariners with Blocks.

Hydrographic Department. (H. 6572/53.)

*1786. SHETLAND ISLES—OUT SKERRIES—Muckle Skerry—Light established.

(1) A light, *Gp. Fl.* (2) *W.R.G. 10 sec. 44 ft. 10, 6, 6 M.*, is to be inserted in position $282\frac{1}{2}^{\circ}$ 4.13 miles from Out Skerries light ($60^{\circ} 25' 30''$ N., $0^{\circ} 43' 35''$ W. approx.). It is shown from a white framework tower, 11 feet in height.

(2) Sectors are to be inserted at the new light in (1) as follows:—*White* from 046° to 192° , *Red* thence to 272° , *Green* thence to 348° , *White* thence to 353° , *Red* thence to 046° .

Charts [*Last correction*].—3059 [2051/63]—1118^A & L(D6) 1118^A [1355/63]—219 & L(D6) 219 (1) [1322/64].
Light List Vol. A/64, 2810. North Sea Pilot Vol. I 1960 p. 153.
Northern Lighthouse Board Notice 11/64. (H. 3013/64.)

*1787. WALES, S. COAST—BRISTOL CHANNEL—SWANSEA BAY—Port Talbot—Information about Docking Signals.

(1) A small circle "*Docking Sig: (see Note)*" is to be substituted for the light-star "*Docking Sig: 2 F.G. (Vert!) (Occas!)*" ($51^{\circ} 34' 55''$ N., $3^{\circ} 48' 10''$ W. approx.).

(2) The accompanying note is to be inserted under the title of the plan.

Chart [*Last correction*].—1161 (plan, Swansea Bay) [1118/64].
Docks Manager, Port Talbot, & Hydrographic Department. (H. 3759/60.)

London.
19th September, 1964.

E. G. IRVING, Rear-Admiral,
Hydrographer of the Navy.

H. O. 114

(1) No.	(2) Name and location	(3) Position lat. long	(4) Characteristic and power	(5) Height (feet)	(6) Range (miles)	(7) Structure, height (feet)	(8) Sector, Remarks, Fog signals
SCOTLAND - SHETLANDS							
7850 A 2784	LERWICK: — North Ness	N. W. 60 10 1 09	F. W. R. G. Cp. under 150	14	5	Column, 10	W. from shore—158°, R.—216°, W.—274°, G.—306°.
7860 A 2786	— Loo's Bao, N. of North Ness, U.		Fl. W. period 3 ^s fl. 0.5 ^s , ec. 2.5 ^s	14	5	Concrete beacon; 20	Shown from Aug. 1 to Apr. 30.
7865 A 2788	— N. entrance, front	60 11 1 09	F. R.	30		Red and orange triangular daymark.	
7865.1 A 2788.1	— Rear, 135 yards 215° from front.		F. R.	55		Red and orange triangular daymark.	
7870 A 2794	Rova Head, E. point	60 11 1 08	Gp. Fl. W. R. G. (3) .. period 18 ^s fl. 0.5 ^s , ec. 1.5 ^s fl. 0.5 ^s , ec. 1.5 ^s fl. 0.5 ^s , ec. 13.5 ^s Cp. W. 500 R. 300 G. 200	33	8	White tower; 22	G. from land—173°, W.—196°, R.—241°, W.—264°, G.—9°, W.—land.
7880 A 2796	Mull of Eswick, 0.5 mile from N. extremity. U.	60 16 1 06	Fl. W. R. G. period 3 ^s fl. 0.5 ^s , ec. 2.5 ^s Cp. W. 1,500 R. 500 G. 300	164	W. 9 R. 6 G. 6	White tower; 22	G. from land—200°, W.—207°, R.— 241°, W.—23°, R.—40°, W.—land.
7890 A 2802	WHALSAY: Symbister Ness, 600 yards from SW. point. U.	60 20 1 02	Gp. Fl. W. R. (2)	37	W. 8 R. 6	White tower; 22	W. 3°—197°, R.—215°, obsc.—3°.
7900 A 2804	Suther Ness	60 22 1 03	Fl. W. R. G. period 3 ^s fl. 0.5 ^s , ec. 2.5 ^s Cp. W. 1,500 R. 500 G. 300	27	W. 10 R. 8 G. 7	White tower; 22	W. from land—41°, G.—123°, W.—206°, R.—235°, obsc. elsewhere.
7910 A 2808	Out Skerries, Bound Skerry ..	60 25 0 43	Fl. W. period 60 ^s fl. 5 ^s , ec. 55 ^s Cp. 150,000	145	18	White tower 08	Radiotelephone. Gun: 1 report ev. 30 ^s .
7915 A 2810	Muckle Skerry	60 26 0 52	Gp. Fl. W. R. G. (2) .. period 10 ^s fl. 0.3 ^s , ec. 1.0 ^s fl. 0.3 ^s , ec. 8.4 ^s Cp. W. 300 R. 100 G. 100	44	W. 7 R. 5 G. 5	White framework tower; 11 ..	W. 46°—192°, R.—272°, G.—348°, W.—353°, R.—46°.

H. O. 114

(1) No.	(2) Name and location	(3) Position lat. long.	(4) Characteristic and power	(5) Height (feet)	(6) Diameter (feet)	(7) Structure, height (feet)	(8) Sector, Remarks, Fog signals
SCOTLAND-SHETLANDS							
	LERWICK:	N. W.					
7850 A 3794	North Ness	60 10 1 09	F. W. R. G. Cp. under 100	14	5	Column; 10	W. from shore-153°, R.-216°, W.-274°, G.-306°.
7860 A 3793	Loofs Daa, N. of North Ness. U.		Fl. W. period 3 ^s fl. 0.5 ^s , ec. 2.5 ^s	14	5	Concrete beacon; 20	Shown from Aug. 1 to Apr. 30.
7865 A 3792	N. entrance, front	60 11 1 09	F. R.	30		Red and orange triangular daymark.	
7865.1 A 3793.1	Rear, 135 yards 215° from front.		F. R.	55		Red and orange triangular daymark.	
7870 A 3794	Rova Head, E. point U.	60 11 1 03	Cp. Fl. W. R. G. (3) period 15 ^s fl. 0.5 ^s , ec. 1.5 ^s fl. 0.5 ^s , ec. 1.5 ^s fl. 0.5 ^s , ec. 13.5 ^s Cp. W. 500 R. 300 G. 200	33	W. 8 R. 7 G. 6	White tower; 22.	G. from land-173°, W.-196°, R.-241°, W.-264°, G.-9°, W.-land.
7880 A 3796	Hill of Eswick, 0.5 mile from N. extremity. U.	50 16 1 06	Fl. W. R. G. period 3 ^s fl. 0.5 ^s , ec. 2.5 ^s Cp. W. 1,000 R. 190 G. 190	164	W. 9 R. 6 G. 6	White tower; 22.	G. from land-200°, W.-207°, R.- 241°, W.-25°, R.-40°, W.-land.
7890 A 3802	WHALSAY: Symbister Ness, 600 yards from SW. point. U.	50 20 1 02	Cp. Fl. W. R. (2) period 12 ^s fl. 0.5 ^s , ec. 1.5 ^s fl. 0.5 ^s , ec. 9.5 ^s Cp. W. 500 R. 200	37	W. 8 R. 6	White tower; 22.	W. 3°-197°, R.-215°, obsc.-3°.
7900 A 3804	Suther Ness U.	60 22 1 00	Fl. W. R. G. period 3 ^s fl. 0.5 ^s , ec. 2.5 ^s Cp. W. 1,500 R. 500 G. 300	27	W. 10 R. 8 G. 7	White tower; 22.	W. from land-41°, G.-123°, W.-205°, R.-235°, obsc. elsewhere.
7910 A 3808	Out Skerries, Bound Skerry	60 25 0 43	Fl. W. period 50 ^s fl. 5 ^s , ec. 55 ^s Cp. 159,000	145	18	White tower; 98.	Gun: 1 report ev. 30°.
7915 A 3810	Muckle Skerry U.	60 26 0 52	Cp. Fl. W. R. G. (2) period 10 ^s fl. 0.3 ^s , ec. 1.0 ^s fl. 0.3 ^s , ec. 2.4 ^s Cp. W. 320 R. 100 G. 100	44	W. 7 R. 5 G. 5	White framework tower; 11	W. 46°-192°, R.-272°, G.-345°, W.-353°, R.-46°.

PUB. 114

LIST OF LIGHTS AND FOG SIGNALS

1973

BRITISH ISLES, ENGLISH CHANNEL AND NORTH SEA

Published by the Defense Mapping Agency
Hydrographic Center



IMPORTANT
THIS PUBLICATION SHOULD
BE CORRECTED EACH
WEEK FROM THE
NOTICE TO MARINERS.

For sale by authorized sales agents of the Defense Mapping Agency Hydrographic Center Price:.....\$4.00

	(2) Name and location	(3) Position lat., long.	(4) Characteristic	(5) Height	(6) Range (miles)	(7) Structure, height (feet)	(8) Sectors, Remarks, Fog signals
SCOTLAND—SHETLANDS							
7810 A 3774	Kirlabister Ness, Bressay Sound.	N. W. 60 07 1 07	Cp. Fl. W. (2) period 30" fl. 0.3", ec. 4.4" fl. 0.3", ec. 25.0"	105" 32	16	White tower; 51	Siren: 2 bl. in quick succession ev. 90". Radiobeacon.
LERWICK:							
7820 A 3778	— Twageos Point	60 09 1 08	Fl. W. period 6" fl. 2", ec. 4"	25 8	6	White beacon; 12	
7830 A 3720	— Elbow near outer end of breakwater.	F. W. G.	16 5	4	Column on concrete base; 12.	G. 150°-330°, W.-150°.
7840 A 3782	— Victoria Pier, elbow	F. R.	16 5	4	Column; 15	A F. R. light is shown from SE. corner and from S. side of Victoria Pier (occasional).
7841 A 3781	— Victoria Pier, head	Qk. Fl. G. 60 fl. per min.	16 5	1	
7842 A 3783	— North Jetty	Qk. Fl. R. 60 fl. per min.	16 5	1	
7845 A 3783.4	— Oil Jetty Head, SW. corner.	60 10 1 09	Qk. Fl. W.	17 5	Post; 8	
7850 A 3774	— North Ness	60 10 1 09	F. W. R. G.	14 4	5	Column; 10	W. from shore-153°, R.-216°, W.-274°, G.-306°.
7860 A 3786	— Loofs Baa, N. of North Ness.	Fl. W. period 3" fl. 0.5", ec. 2.5"	14 4	5	Concrete beacon; 20	Shown from Aug. 1 to Apr. 30.
7865 A 3782	— N. entrance, front	60 11 1 09	F. R.	30 9	Red and orange triangular daymark.	
7865.1 A 3784.1	— Rear, 135 yards 215° from front.	F. R.	55 17	Red and orange triangular daymark.	
7870 A 3774	Rore Head, E. point	60 11 1 08	Cp. Fl. W. R. G. (3) .. period 18" fl. 0.5", ec. 1.5" fl. 0.5", ec. 1.5" fl. 0.5", ec. 11.5"	33 10	W. 8 R. 7 G. 6	White tower; 22	G. from land-173°, W.-196°, R.-241°, W.-264°, G.-9°, W.-land.
7880 A 3776	Mull of Eswick, 0.5 mile from N. extremity.	60 16 1 05	Fl. W. R. G. period 3" fl. 0.5", ec. 2.5"	164 50	W. 9 R. 6 G. 6	White tower; 22	G. from land-200°, W.-207°, R.- 241°, W.-28°, R.-49°, W.-land.
WHALSAY:							
7890 A 3802	— Symbister Ness, 600 yards from SW. point.	60 20 1 02	Cp. Fl. W. R. (2) period 12" fl. 0.5", ec. 1.5" fl. 0.5", ec. 9.5"	37 11	W. 8 R. 6	White tower; 22	W. 3°-197°, R.-215°, obsc.-3°.
7900 A 3801	— Suther Ness	60 22 1 00	Fl. W. R. G. period 3" fl. 0.5", ec. 2.5"	27 8	W. 10 R. 8 G. 7	White tower; 22	W. from land-41°, G.-123°, W.-206°, R.-235°, obsc. elsewhere.
7910 A 3808	Out Skerries, Bound Skerry ..	60 25 0 43	Fl. W. period 20" fl. 0.5", ec. 19.5"	148 45	18	White tower; 98	Hom: 1 bl. ev. 45°.
7915 A 3820	Muckle Skerry	60 26 0 52	Cp. Fl. W. R. G. (2) .. period 10" fl. 0.3", ec. 1.0" fl. 0.3", ec. 8.4"	44 13	W. 7 R. 5 G. 5	White framework tower; 11	W. 46°-192°, R.-272°, G.-348°, W.-353°, R.-46°.

FEB 5 1937

N 6.8:
33 937

H. O. No. 33

1937

LIST OF LIGHTS

AND FOG SIGNALS

Volume IV

BRITISH ISLANDS, ENGLISH CHANNEL
AND NORTH SEA

Corrected to January 1, 1937

ISSUED UNDER THE AUTHORITY OF THE
SECRETARY OF THE NAVY



UNITED STATES
GOVERNMENT PRINTING OFFICE
WASHINGTON : 1937

For sale by the Hydrographic Office, Washington, D. C.

Price 93 cents

SCOTLAND—EAST COAST

No.	Name and location	Position, lat. N., long. W.	Characteristic and power	Height of light above high water (feet)	Visi- bility (nau- tical miles)
1982	Frewick, on pier.....	58 35 3 04	F. W..... Cp. under 100.	5	5
1984	Duncansby Head.....	58 39 3 01	Fl. W..... period 6°. flash about 0.7°, ecl. 5.3°. Cp. 30,000.	220	20

SCOTLAND—NORTH COAST

1986	Pentland Skerries, on Muckle Skerry.	58 41 2 55	Gp. Fl. W..... 3 flashes, period 30°. flash 4°, ecl. 1°. " 4° " 1°. " 4° " 16°. Cp. 20,000.	170	10
1990	Lothar Rock..... U.	58 44 2 59	Gp. Fl. W..... 2 flashes, period 10°. flash 1°, ecl. 1°. " 1° " 7°. Cp. 400.	35	10
1992	Stroma, Swilkie Point.....	58 42 3 07	Gp. Fl. W..... 6 flashes, period 30°. flash 0.7°, ecl. 1.7°. " 0.7° " 1.7°. " 0.7° " 1.7°. " 0.7° " 1.7°. " 0.7° " 1.7°. " 0.7° " 17.3°. Cp. 156,000.	104	10
1994	Dunnet Head.....	58 40 3 22	Gp. Fl. W..... 4 flashes, period 30°. " 1°, ecl. 4°. " 1° " 4°. " 1° " 4°. " 1° " 14°. Cp. 141,000.	340	25
1990	Holburn, Little Head, W. side of Thurso Bay.	58 37 3 32	Fl. W., with R. sec- tor, period 10°. flash about 1°, ecl. 0°. Cp. W. 15,000, R. 8,000.	75	14
2000	Thurso, N. head of break- water.	58 36 3 30	F. R..... Cp. under 100.	15	5
2002	Scrabster Harbor, head of E. pier.	58 37 3 32	F. W..... Cp. under 100.	10	0
2004	— Head of W. pier.....		F. R..... Cp. under 100.	10	5

SCOTLAND—EAST COAST

No.	Structure; height (feet)	Sectors. Remarks. Fog signals
1982	Post; 5.....	Fishing light. Occasional.
1984	White tower; 38.....	Siren; 5 blasts, of 2.5- duration in quick suc- cession, every 2 min.

SCOTLAND—NORTH COAST

1990	White tower; 118.....	Siren (old lighthouse); blast 7°, silent 83°.
1990	Black pyramidal beacon with cage; 40.	
1992	White tower; 74.....	Siren; 2 blasts of 3° each, in quick succession, every min.
1994	White stone tower; 60...	Lloyd's and storm signal stations. Siren; 3 blasts (low, high, low) of 3° each, in quick succession, every 2 min.
1990	White tower; 55.....	White from about 108° to 358°; red thence to land SE. of the light. Telephone for life saving purposes. Gun (70 yards N. of light); one report every 20°.
2000	Post; 10.....	Visible from 03° to 319°. Shown from Sept. 1 to Apr. 30.
2003	Post; 8.....	Shown from Aug. 1 to May 31.
2004	White circular tower; 0...	

chw

11202.23:
33848

H. O. P. N. No. 53
1948

LIST OF LIGHTS

AND FOG SIGNALS

Volume IV

BRITISH ISLES, ENGLISH CHANNEL
AND NORTH SEA

Corrected to January 1, 1948

ISSUED UNDER THE AUTHORITY OF THE
SECRETARY OF THE NAVY



UNITED STATES
GOVERNMENT PRINTING OFFICE
WASHINGTON: 1948

SCOTLAND

No.	Name and location	Position, lat. N., long. W.	Characteristic and power	Height of light above high water (feet)	Visi- bility (nau- tical miles)
2000	WICK: — SE. corner of pier be- tween Outer and Inner Harbor.	58 26 8 01	F. R.		
2002	— Front, near root of S. pier.		F. R. Cp. under 100.	16	
2004	— Rear, 22 yards from front light.		F. R. Cp. under 100.	23	
2000	Noss Head	58 29 3 03	Fl. W., with R. sector. period 30°. flash from 2.5 to 5°. Cp. W. 93,000, R. 37,000.	175	18
2010	Kelso Harbor	58 31 3 07	F. W. Cp. under 100.	12	5
2012	Auckingill, front	58 34 3 05	F. W. Cp. under 100.	53	
2014	— Rear, on shore, 230 yards from front light.		F. W. Cp. under 100.	107	
2016	Fraswick, on pier	58 35 3 04	F. W. Cp. under 100.	8	6
2020	Duncansby Head	58 30 3 01	Fl. W. period 6° flash about 0.7°, ecl. 5.3°. Cp. 30,000.	220	20

SCOTLAND

2040	Pentland Skerries, on Mackin Skerry.	58 41 2 55	Gp. Fl. W. 3 flashes, period 30°. flash 4°, ecl. 1°. " 4° " 1°. " 1° " 16°. Cp. 29,000.	170	19
2042	Lothar Rock U.	58 44 2 59	Gp. Fl. W. 2 flashes, period 10°. flash 1°, ecl. 1°. " 1° " 7°. Cp. 400.	35	10

EAST COAST

No.	Structure; height (feet)	Sector. Remarks. Fog signal
2000		
2002	Mast; 11	
2004	Lantern on building; 19	Range lights, for harbor entrance. Not visible until harbor entrance is open.
2006	White stone tower; 60	Rms from 191° to the land W. of the light; white elsewhere. Telephone for life-saving purposes. Siren; 3 blasts of 3° duration each in quick succession every 90°.
2010	Bracket on building	Shown at tide time when fishing boats are expected.
2012	Tower; 12	
2014	Window of house	Range lights, shown when fishing boats are at sea.
2016	Post; 5	Fishing light. Occasional.
2020	White tower; 36	Siren; 5 blasts, of 2.5° duration in quick succession every 2 min.

NORTH COAST

2040	White tower; 118	Siren (old lighthouse); blast 7°, silent E.S.
2042	Black pyramidal beacon with cage; 40	

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MC DEC 1954

H. O. Pub. No. 33

1954

LIST OF LIGHTS

AND FOG SIGNALS:

v. 4
Volume IV

BRITISH ISLES, ENGLISH CHANNEL AND NORTH SEA;

Corrected to August 1, 1954

ISSUED UNDER THE AUTHORITY OF THE
SECRETARY OF THE NAVY



UNITED STATES
GOVERNMENT PRINTING OFFICE
WASHINGTON : 1954

No.	Name and location	Position, lat. long.	Characteristic and power	Height of post above high water (feet)	Visibility (stat. miles)	Structure, height (feet)	Sector. Remarks. Fog signals
ENGLAND—EAST COAST							
7320 A 1543	Duncansby Head.....	N. W. 58 35 3 01	Fl. W..... period 6" fl. 0.7", ec. 5.3. Cp. 30,000	220	20	White tower; 30.....	Siren: 5 quick blasts ev. 2 min.
SCOTLAND—NORTH COAST							
7330 A 1543	Pentland Skerries, on Muckle Skerry.	58 41 2 55	Gp. Fl. W. (3)..... period 30" fl. 4", ec. 1" " 4", " 1" " 4", " 10" Cp. 29,000	170	19	White tower; 118.....	Siren: (old lighthouse) blast 7", silent 83".
7340 A 1541	Lothar Rock..... U.	58 44 2 59	Gp. Fl. W. (2)..... period 10" fl. 1", ec. 1" " 1", " 7" Cp. 400	35	10	Black pyramidal bea- con with cage; 40.	
7350 A 1543	Stroma, Swilkie Point.....	58 42 3 07	Gp. Fl. W. (6)..... period 30" fl. 0.7", ec. 1.7" " 0.7", " 1.7" " 0.7", " 1.7" " 0.7", " 4.7" " 0.7", " 1.7" " 0.7", " 17.3" Cp. 150,000	101	16	White tower; 74.....	Siren: 2 quick blasts ev. 60". Radiobeacon.
7360 A 1574	Dunnet Head.....	58 49 3 22	Gp. Fl. W. (4)..... period 30" fl. 1", ec. 4" " 1", " 4" " 1", " 4" " 1", " 14" Cp. 141,000	346	25	White stone tower; 66.....	Storm signals.
7370 A 1543	Holburn, Little Head, W. side of, Thurso Bay.	58 37 3 32	Fl.—W. R..... period 10" fl. 1", ec. 9" Cp. W. 15,000, R. 8,000	75	14	White tower; 55.....	W. 198°-358"; R.—lang. SE. of the light. Tele- phone for life-saving. Gun (70 yards N. of light) 1 report ev. 20"
7380 A 1530	Thurso, N. head of breakwater.	58 36 3 30	F. R. Cp. under 100	15	5	Post; 10.....	Shown from Sept. 1 to Apr. 30.
7390 A 1541	— Front.....		F. G.	15	5	White post.....	
7390.1 A 1541.1	— Rear.....		F. G.	20	5	White post.....	Range light, about 1957.
7400 A 1541	Scrabster Harbor, head of E. pier.	58 37 3 33	F. W. Cp. under 100	10	6	Post; 9.....	
7410 A 1540	— Head of W. pier.....		F. R. Cp. under 100	10	5	White circular tower; 9.....	Shown from Aug. 1 to May 31.

No.	Name and location	Position (lat. long.)	Characteristic and power	Height of light above high water (feet)	Visi- bility (nau- tical miles)	Structure, height (feet)	Notes, Remarks, Fog signals
SCOTLAND—EAST COAST							
		N. W.					
7270 A 2528	WICK: — Head of S. pier, front ...	58 26 3 05	F. R. Cp. 100	37	8	White octagonal tower; 35	A F. G. light is shown from pilot's lookout at South Head when dangerous to enter the bay. Storm signals. Bell: 2 quick strokes ev. 10" A F. W. light 21 feet above high water is shown from a post at head of pier. Siren: (North Head) 1 blast ev. 30". Radio direction finder.
7270.1 A 2530	— Rear, on N. pier 130 yards 255° from front.		F. G. Cp. under 100	43	6	White beacon, 40	
7280 A 2534	— Near root of S. pier, front.		F. R. Cp. under 100	16		Mast; 11	
7280.1 A 2536	— Rear, 22 yards 234° from front.		F. R. Cp. under 100	23		Lantern on building; 19	
7290 A 2544	Noss Head	58 28 3 03	Fl. — W. R. period 30" fl. from 2.5° to 5° Cp. W. 93,000 R. 37,000	175	18	White stone tower, dwell- ings; 60.	R. 191° — land W. of the light, W. — 191°. Telephone for lifesaving. Siren: 3 quick blasts ev. 90"
7300 A 2543	— AVIATION LIGHT	58 28 3 05	Alt. Cp. Fl. — W. G. (4). period 8" S. G. 0.7°, ec. 0.6° N. W. 0.7°, ec. 0.6° S. W. 0.7° N. G. 0.7°, ec. 4.1°				
7310 A 2548	Keisa Harbor	58 31 3 07	F. W. Cp. under 100	14	5	Bracket on building	Warning for fishing boats.

SCOTLAND—NORTH COAST

7320 A 2554	Dunstanby Head	58 39 3 01	Fl. W. period 6" fl. 0.7°, ec. 5.3° Cp. 30,000	220	20	White square tower, dwelling; 36.	Siren: 5 blasts ev. 2 mins.
7330 A 2552	Pentland Skerries, on Wreckle Skerry.	58 41 2 55	Cp. Fl. W. (3) period 30" fl. 4°, ec. 1° fl. 4°, ec. 1° fl. 4°, ec. 16° Cp. 710,000	170	19	White circular tower, dwelling; 118.	Siren: (old lighthouse) 1 blast ev. 90".
7340 A 2564	Lotser Rock	58 44 2 59	Cp. Fl. W. (2) period 10" fl. 1°, ec. 1° fl. 1°, ec. 7° Cp. 400	35	10	Black pyramidal beacon with cage, 40.	
7350 A 2568	Stroma, Swilkie Point	58 42 3 07	Cp. Fl. W. (6) period 30" fl. 0.7°, ec. 1.7° fl. 0.7°, ec. 1.7° fl. 0.7°, ec. 1.7° fl. 0.7°, ec. 1.7° fl. 0.7°, ec. 1.7° fl. 0.7°, ec. 17.3° Cp. 156,000	104	16	White tower, 74	Siren: 2 quick blasts ev. 60". Radiobeacon.

PUB. NO. 114

21052

THIRD EDITION

D203.22:114/963

LIST OF LIGHTS AND FOG SIGNALS:

BRITISH ISLES, ENGLISH CHANNEL AND NORTH SEA

September 14, 1963.

Including Notice to Mariners No. 37 of 1963.

Published by the U.S. Naval Oceanographic Office under
the authority of the Secretary of the Navy



UNITED STATES
GOVERNMENT PRINTING OFFICE
WASHINGTON: 1963

For sale by authorized Sales Agents of the U.S. Naval Oceanographic Office.

Each, including ring binder.....	\$5.00
Contents only.....	\$3.50
Each change.....	.50

② Paper, \$3.50; with binding
\$5.00

No.	Name and location	Position lat., long.	Characteristic and power	Height of light above high water (feet)	Visi- bility (nau- tical miles)	Structure, height (feet)	Sector, Remarks, Fog signals
SCOTLAND-NORTH COAST							
7320 A 2554	Duncansby Head.....	N. W 58 39 3 01	Fl. W period 6 ^s fl. 0.7 ^s , ec. 5.3 ^s (cp. 30,000)	220	23	White tower; 36.....	Siren 5 bl. ev. 2 mins. Telephone.
7330 A 2562	Penland Skerries, on Muckle Skerry.	58 41 2 55	Co. Fl. W. (3) period 30 ^s fl. 4 ^s , ec. 1 ^s fl. 4 ^s , ec. 1 ^s fl. 4 ^s , ec. 16 ^s Cp. 710,000	170	19	White tower; 118.....	Siren (old lighthouse) 1 bl. ev. 90 ^s . Radiotelephone. Distress signals.
7340 A 2564	Lether Rock U.	58 44 2 59	Co. Fl. W. (7) period 10 ^s fl. 1 ^s , ec. 1 ^s fl. 1 ^s , ec. 7 ^s Cp. 400	35	10	Black pyramidal beacon; 40.	
7350 A 2568	Stroma, Swilkie Point	58 42 3 07	Co. Fl. W. (6) period 30 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 17.3 ^s Cp. 156,000	104	15	White tower; 74.....	Siren 2 quick bl. ev. 60 ^s . Radiobeacon. Radiotelephone.
7360 A 2574	Dunnet Head.....	58 40 3 22	Co. Fl. W. (4) period 30 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 14 ^s Cp. 141,000	346	25	White stone tower; 66.....	Storm signals. Siren 3 bl. in quick succession ev. 90 ^s .
7370 A 2584	Hulbarn, Little Head, W. side of Thurso Bay.	58 37 3 32	Fl.—W. R. period 10 ^s fl. 1 ^s , ec. 9 ^s Cp. W. 15,000 R. 8,000	75	14	White tower; 55.....	W. 195°—358°, R.—land. Siren 1 bl. ev. 20 ^s . Telephone. Distress signals.
7372 A 2590	Streeby Point.....	58 36 4 01	Fl. W. period 20 ^s fl. 0.5 ^s , ec. 19.5 ^s Cp. 1,560,000	135	17	Diaphone; 4 bl. ev. 90 ^s .
7380 A 2588	Thurso, N. head of break- water.	58 35 3 30	F. R. Cp. under 100	15	5	Red post; 10.....	Shown from Sept. 1 to Apr. 30.
7390 A 2582	— Front		F. G.	15	5	White post; 10.....	
7390.1 A 2582.1	— Rear, about 195° from front.		F. G.	20	5	White post; 15.....	
7400 A 2584	Scrabster Harbor, head of E. pier.	58 37 3 33	F. W. Cp. under 100	10	6	Post; 9.....	Shown from Aug. 1 to May 31.
7410 A 2598	— Head of W. pier.....		F. R. Cp. under 100	10	5	White circular tower; 9.....	Shown from Aug. 1 to May 31.

No.	Name and location	Position lat., long.	Characteristic and power	Height of light above high water (feet)	Visi- bility (nau- tical miles)	Structure, height (feet)	Sector, Remarks, Fog signals
SCOTLAND-NORTH COAST							
7320 A 2568	Dunconby Head	N. W. 56 39 1 01	Fl. W. period 6" fl. 0.7 ^s , ec. 5.3 ^s Cp. 50,000	220	20	White tower; 16	Siren; 5 bl. ev. 2 mins. Telephone.
7330 A 2562	Pentland Skerries, on Muckle Skerr.	56 41 2 55	Gp. Fl. W. (3) period 30" fl. 0.4 ^s , ec. 0.1 ^s fl. 0.4 ^s , ec. 0.1 ^s fl. 0.4 ^s , ec. 25.0" Cp. 710,000	170	19	White tower; 115	Siren (old light, use 1 bl. ev. 90"). Radiotelephone. Distress signals.
7340 A 2544	Lather Rock	56 44 U. 2 59	Gp. Fl. W. (2) period 10" fl. 1 ^s , ec. 1 ^s fl. 1 ^s , ec. 7 ^s Cp. 400	35	10	Black pyramidal beacon; 10	
7350 A 2565	Sroma, Sallie Point	56 42 3 07	Gp. Fl. W. (6) period 30" fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s Cp. 150,000	194	16	White tower; 74	Siren; 2 quick bl. ev. 60". Radiobeacon. Radiotelephone.
7360 A 2574	Dunnet Head	56 40 3 22	Gp. Fl. W. (4) period 30" fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 14 ^s Cp. 111,000	345	25	White stone tower; 66	Telephone. Siren; 3 bl. in quick success ev. 90".
7370 A 2588	Holburn, Little Head, W. side of Taurus Bay	56 37 3 32	Fl.—W. R. period 10" fl. 1 ^s , ec. 9 ^s Cp. W. 15,000 R. 5,000	75	14	White tower; 55	W. 198°-358°; R.—land. Siren; 1 bl. ev. 20". Telephone. Distress signals.
7372 A 2560	Sraiby Point	56 36 4 01	Fl. W. period 20" fl. 0.5 ^s , ec. 19.5 ^s Cp. 1,000,000	135	17		Diaphone; 4 bl. ev. 90".
7390 A 2580	Thurso, N. head of break- water.	56 36 3 30	F. R. Cp. under 100	15	5	Red post; 10	Shown from Sept. 1 to Apr. 30
7390 A 2582	— Front		F. G.	15	5	White post; 10	
7390.1 A 2582.1	— Rear, about 195° from front.		F. G.	20	5	White post; 15	
7400 A 2584	Scrabster Harbor, head of E. pier.	56 37 3 33	F. W. Cp. under 100	10	h	Post; 9	Shown from Aug. 1 to May 31.
7410 A 2580	— Head of W. pier		F. R. Cp. under 100	10	5	White circular tower; 9	Shown from Aug. 1 to May 31.

(1) No.	(2) Name and location	(3) Position lat. long.	(4) Characteristic and power	(5) Height (feet)	(6) Range (miles)	(7) Structure, height (feet)	(8) Sector. Remarks. Fog signals
SCOTLAND-NORTH COAST							
7320 A 3558	Duncansby Head	N. W. 58 39 3 01	Fl. W. period 6 ^s fl. 0.7 ^s , ec. 5.3 ^s Cp. 30,000	220	17	White tower, 36	Siren: 5 bl. ev. 2 mins.
7330 A 3562	Pentland Skerries, on Muckle Skerry.	58 41 2 55	Cp. Fl. W. (3) period 30 ^s fl. 0.4 ^s , ec. 0.1 ^s fl. 0.4 ^s , ec. 0.1 ^s fl. 0.4 ^s , ec. 28.6 ^s Cp. 710,000	170	19	White tower; 115	Siren (old lighthouse) 1 bl. ev. 90 ^s . Distress signals.
7340 A 3564	Lothber Rock	58 44 2 59	Cp. Fl. W. (2) period 10 ^s fl. 1 ^s , ec. 1 ^s fl. 1 ^s , ec. 7 ^s Cp. 400	35	8	Black pyramidal beacon; 40.	
7350 A 3568	Sroma, Sullie Point	58 42 3 07	Cp. Fl. W. (5) period 30 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 17.3 ^s Cp. 156,000	104	16	White tower; 74	Siren: 2 quick bl. ev. 60 ^s . Radiobeacon.
7350 A 3576	Dumet Head	58 40 3 22	Cp. Fl. W. (4) period 30 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 14 ^s Cp. 141,000	346	20	White stone tower; 65	Siren: 3 bl. in quick succession ev. 90 ^s .
7370 A 3578	Holburn, Little Head, W. side of Thurso Bay.	58 37 3 32	Fl. W. R. period 10 ^s fl. 1 ^s , ec. 9 ^s Cp. W. 15,000 R. 8,000	75	14	White tower, 55	W. 193°-358°, R.-land. Siren: 1 bl. ev. 20 ^s . Distress signals.
7372 A 3580	Smathy Point	58 36 4 01	Fl. W. period 20 ^s fl. 0.5 ^s , ec. 19.5 ^s Cp. 1,600,000	146	18	White low tower on white dwelling; 45.	Diaphone: 4 bl. ev. 90 ^s .
7380 A 3580	Thurso, N. head of break- water.	58 36 3 30	F. R. Cp. under 100	15	4	Red post; 10	Shows from Sept. 1 to Apr. 30.
7390 A 3582	— Front		F. G. Cp. under 100	15	4	White post; 10	
7390.1 A 3582.1	— Rear, about 195° from front.		F. G. Cp. under 100	20	4	White post; 15	
7400 A 3584	Scrabster Harbor, head of E. pier.	58 37 3 33	F. W. Cp. under 100	10	4	White post; 9	Shows from Aug. 1 to May 31.
7410 A 3586	— Head of W. pier		F. R. Cp. under 100	10	4	White circular tower; 9	Shows from Aug. 1 to May 31.

(1) No.	(2) Name and location	(3) Position lat., long.	(4) Characteristic and color	(5) Height feet	(6) Range (miles)	(7) Structure, height (feet)	(8) Sector, Remarks, Fog signals
SCOTLAND-NORTH COAST							
7320 A 3558	Duncansby Head	N. 8 58 39 3 01	Fl. W. period 6" fl. 0.7", ec. 5.3" Cp. 31,000	209 67	17	White tower, 36	Siren: 5 bl. ev. 2 mins. Recon.
7330 A 3567	Portland Skerries, on Muckle Skerry.	58 41 2 55	Cp. Fl. W. (3) period 30" fl. 0.4", ec. 0.1" fl. 0.4", ec. 0.1" fl. 0.4", ec. 25.6" Cp. 710,000	170 52	19	White tower; 118	Siren: (old lighthouse) 1 bl. ev. 90" Distress signals.
7340 A 3564	Lothar Rock	58 44 2 59	Cp. Fl. W. (2) period 10" fl. 1", ec. 1" fl. 1", ec. 7" Cp. 400	35 11	8	Black pyramidal beacon; 40.	
7350 A 3568	Shroma, Swilite Point	58 42 3 07	Cp. Fl. W. (6) period 30" fl. 0.7", ec. 1.7" fl. 0.7", ec. 1.7" fl. 0.7", ec. 1.7" fl. 0.7", ec. 1.7" fl. 0.7", ec. 1.7" fl. 0.7", ec. 17.3" Cp. 156,000	104 32	16	White tower; 74	Horn: 2 quick bl. ev. 60" Radiobeacon.
7360 A 3574	Dunnet Head	58 40 3 22	Cp. Fl. W. (4) period 30" fl. 1", ec. 4" fl. 1", ec. 4" fl. 1", ec. 4" fl. 1", ec. 14" Cp. 141,000	346 105	20	White stone tower, 66	Siren: 3 bl. in quick succession ev. 90"
7370 A 3579	Holburn, Little Head, W. side of Thurso Bay.	58 37 3 52	Fl. W. R period 10" fl. 1", ec. 9" Cp. W. 15,000 R. 8,000	75 23	14	White tower; 55	W. 198°-358° R.-land. Siren: 1 bl. ev. 20" Distress signals.
7372 A 3580	Storhy Point	58 36 4 01	Fl. W. period 20" fl. 0.5", ec. 19.5" Cp. 1,000,000	126 45	16	White low tower on white dwelling, 45.	Diaphone: 4 bl. ev. 90"
7380 A 3589	Thurso, N. head of Break- water.	58 36 3 50	F. R Cp. under 100	15 5	4	Red post; 10	Shown from Sept. 1 to Apr. 30.
7390 A 3582	— Front		F. G Cp. under 100	15 5	4	White post; 10	
7390.1 A 3582.1	— Rear, about 195° from front.		F. G Cp. under 100	20 6	4	White post; 15	
7400 A 3584	Scrabster Harbor, head of E. pier.	58 37 3 33	F. W Cp. under 100	10 3	4	White post; 9	Shown from Aug. 1 to May 31.
7410 A 3585	— Head of W. pier		F. R Cp. under 100	10 3	4	White circular tower; 9	Shown from Aug. 1 to May 31.

PUB. 114

LIST OF LIGHTS
AND FOG SIGNALS

1973

BRITISH ISLES, ENGLISH CHANNEL
AND NORTH SEA

Published by the Defense Mapping Agency
Hydrographic Center

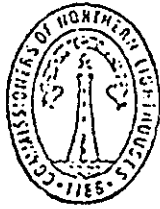


IMPORTANT
THIS PUBLICATION SHOULD
BE CORRECTED EACH
WEEK FROM THE
NOTICE TO MARINERS.

(1) No.	(2) Name and location	(3) Position lat. long.	(4) Characteristic	(5) Height	(6) Range (miles)	(7) Structure, height (feet)	(8) Sectors, Remarks, Fog signals
SCOTLAND—EAST COAST							
7260 A 3534	Clyth Ness	N. W. 58 19 3 13	Gp. Fl. W. (2) period 30" fl. 0.4", ec. 2.1" fl. 0.4", ec. 27.1	148 45	16	White tower, red band; 42...	
VICK:							
7270 A 3538	— Head of S. pier, front....	58 26 3 05	F. R.	38 12	5	White octagonal tower; 35..	Port and storm signals. Bell: 2 quick strokes ev. 10" (during fishing season).
7270.1 A 3538.1	— — Rear, on N. pier 197 yards 285° 15' from front.	F. G.	44 13	4	Metal framework tower; 40 ..	A F. W. light 18 feet above high water is shown from a post at head of pier.
7280 A 3534	— Near: roof of S. pier, front.	F. R.	15 5	Mast; 11.....	
7280.1 A 3534.1	— — Rear, 72 yards 234° from front.	F. R.	26 8	Lantern on building; 19....	
7290 A 3544	Noss Head.....	58 29 3 03	Fl. W. R. period 30" fl. from 2.5" to 5"	175 53	19	White stone tower, 60	R. shore—191°, W.—shore. Diaphone: 3 quick bl. ev. 50" Distress signals.
7300 A 3543	— AVIATION LIGHT	58 28 3 05	Alt. Gp. Fl. W. G. (4) period 8" fl. G. 0.7", ec. 0.6" fl. W. 0.7", ec. 0.5" fl. W. 0.7", ec. 0.6" fl. G. 0.6", ec. 4.1"	

SCOTLAND—NORTH COAST

7320 A 3558	Dunconby Head.....	58 39 3 01	Fl. W. period 6" fl. 0.7", ec. 5.3"	220 67	17	White tower; 36.....	Siren: 5 bl. ev. 2 min. Recon.
7330 A 3562	Pentland Skerries, on Muckle Skerry.	58 41 2 55	Gp. Fl. W. (3) period 30" fl. 0.4", ec. 0.1" fl. 0.4", ec. 0.1" fl. 0.4", ec. 28.6"	170 52	19	White tower; 118.....	Siren: (old lighthouse) 1 bl. ev. 90" Distress signals.
7340 A 3564	Lothar Rock	58 44 2 59	Ch. Fl. W.	35 11	6	Black pyramidal beacon; 40.	
7350 A 3568	Stroma, Swilkie Point	58 42 3 07	Gp. Fl. W. (2) period 20" 2 fl. each 0.5"	104 32	16	White tower; 74.....	Morn: 2 bl. ev. 60" in quick suc- cession. Radiobeacon. Distress signals.
7360 A 3574	Dunnet Head	58 40 3 22	Gp. Fl. W. (4) period 30" fl. 1", ec. 4" fl. 1", ec. 4" fl. 1", ec. 4" fl. 1", ec. 14"	346 105	20	White stone tower; 66	Siren: 3 bl. in quick succession ev. 90".
7370 A 3576	Holburn, Little Head, W. side of Thurso Bay.	58 37 3 32	Fl. W. R. period 10" fl. 1", ec. 9"	75 23	14	White tower; 55	W. 198°—358°, R.—land. Siren: 1 bl. ev. 20" Distress signals.
7372 A 3590	Snathy Point.....	58 36 4 01	Fl. W. period 20" fl. 0.5", ec. 19.5"	146 45	18	White low tower on white dwelling; 45.	Diaphone: 4 bl. ev. 90".



NORTHERN LIGHTHOUSE BOARD
84 George Street Edinburgh EH2 3DA
Telegrams Lighthouse Edinburgh
Telephone 031-226 7051
Telex 72551 (Lighthouse Edin)

84928

Hill, Dickinson & Co
Equity & Law House
47 Castle Street
LIVERPOOL
L2 9UB

Your reference

JDG

Our reference

JRW/DS

Date

3 October 1977

Dear Sir

PENTLAND SKERRIES LIGHTHOUSE
STRANDING OF "PIONEER COMMANDER"

I write to acknowledge receipt of your letter of
23 September 1977 and in reply to inform you that:-

- (a) The character is produced by a revolving 4th Order
(250mm focal distance) lens
- (b) The short dark period between flashes in the group
is 5.6 secs so that the whole cycle of 30 secs is
made up as follows:

Flash	0.4 sec	} All rounded to nearest tenth of a second
Eclipse	5.6 secs	
Flash	0.4 sec	
Eclipse	5.6 secs	
Flash	0.4 sec	
Eclipse	17.6 secs	
<u>TOTAL</u>	30.0 secs	

Our information is that the light was flashing to
character.

Yours faithfully

J R Welsh, Secretary

SECTION II
CORRECTIONS TO PUB 112, LIST OF LIGHTS, 21 MAY 1977 EDITION— Continued

15310 F 2502	San Miguel Island, about 200 feet from NW. extremity.	12 43 123 35	Cp. Fl. W. (3)..... period 15 ^s	222 68	5 Concrete tower; 36.....	Visible 6°-228°.	47/77
18263	— W. breakwater.....	37 03 129 25	Fl. G..... period 3 ^s	36 11	2 White quadrangular iron framework; 27.		47/77
18370 F 4428	— E. head of detached breakwater.	36 41 129 28	Fl. G..... period 5 ^s	30 9	2 White square iron framework tower; 22.		47/77
18930 F 4420	— Head of S. breakwater....	36 30 129 27	Fl. G..... period 3 ^s	33 10	2 White square iron tower; 30.		47/77
18950 F 4415	— No. 1 Light, head of W. breakwater.	Fl. G..... period 3 ^s	30 9	5 White square iron framework structure; 32.		47/77
22000 F 3600	Hsiung-Ti Tao	23 32 117 41	Cp. Fl. W. (3)..... period 6 ^s	5		47/77
24235 F 2855.7	Pulau Perhentian Besar	5 53 102 45	Fl. W..... period 7 ^s	145 44	5 Pedestal on rock		47/77
39000 K 0104	— Extension of S. breakwater.	33 57 25 39	Fl. W..... period 2 ^s	Marks works in progress (1977).	47/77

CORRECTIONS TO PUB 113, LIST OF LIGHTS, 15 JANUARY 1977 EDITION

8355 E 0528	Cop Leucate.....	42 55 3 03	Cp. Fl. W. (7)..... period 10 ^s fl. 0.2 ^s , ec. 7.3 ^s fl. 0.2 ^s , ec. 2.3 ^s	216 66	21 White pyramidal tower, red top; 57.		47/77
15251	— Refuge harbor, head of west mole.	F. R	26 8	4 Pile, red and white bands..		47/77
15252	— Head of wharf	F. R., F. G. (vert.) ..	43 13	4 Pile, red and black bands..		47/77
41351 D 5414	— Marcus Island, S. side....	33 03 17 56	Cp. Fl. W. (2)..... period 10 ^s fl. 5 ^s , ec. 2.5 ^s fl. 0.5 ^s , ec. 6.5 ^s	59 18	10 Lattice mast.....		47/77
41356 D 5833	— Eland Point.....	33 04 17 58	Fl. W..... period 5 ^s	114 35	9 Metal framework tower.....		47/77

CORRECTIONS TO PUB 114, LIST OF LIGHTS, 6 AUGUST 1977 EDITION

7330 A 3562	Pentland Skerries, on Nuckle Skerry.	58 41 2 55	Cp. Fl. W. (3)..... period 30 ^s fl. 0.4 ^s , ec. 5.6 ^s fl. 0.4 ^s , ec. 5.6 ^s fl. 0.4 ^s , ec. 17.6 ^s	170 52	19 White tower; 118.....	Siren (old lighthouse) 1 bl. ev. 90 ^s . Distress signals.	47/77
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Note.—*Indicates list column in which a correction has been made or new information added.

PUB. 14

LIST OF LIGHTS

AND FOG SIGNALS

1978

(4 November)

IMPORTANT
THIS PUBLICATION SHOULD
BE CORRECTED EACH
WEEK FROM THE
NOTICE TO MARINERS

BRITISH ISLES, ENGLISH CHANNEL
AND NORTH SEA



PUBLISHED BY THE DEFENSE MAPPING AGENCY
HYDROGRAPHIC/TOPOGRAPHIC CENTER
WASHINGTON, D.C. 20315

Fog signals

73° 05' N. Lat. - 79° 00' W. Long. shown on chart

to Mar. 31.

vessels.

signals. (see ev. 10th season).

not above high from a post at

(1) No.	(2) Name and location	(3) Position lat. long.	(4) Characteristic	(5) Height	(6) Range (miles)	(7) Structure, height (feet)	(8) Sector, Remarks, Fog s.
SCOTLAND-EAST COAST							
7290 A 3564	Hess Head.....	N. W. 58 29 3 03	Fl. W. R. period 30 ^s fl. from 2.5 ^s to 5 ^s	175 53	W. 19 R. 17	White stone tower; 60	R. above-191', W. -above. Diaphone: 3 quick bl. ev. Distress signals.
7300 A 3563	— AVIATION LIGHT.....	58 28 3 05	Alt. Co. Fl. W. G. (4) period 8 ^s fl. G. 0.7 ^s , ec. 0.6 ^s fl. W. 0.7 ^s , ec. 0.6 ^s fl. W. 0.7 ^s , ec. 0.6 ^s fl. G. 0.6 ^s , ec. 4.1 ^s				
SCOTLAND-NORTH COAST							
7320 A 3568	Dunstaffnage Head.....	58 39 3 01	Fl. W. period 6 ^s fl. 0.7 ^s , ec. 5.3 ^s	220 67	17	White tower; 36.	Siren: 5 bl. ev. 2 min. Focen.
7330 A 3562	Panthead Skerries, on Huckle Skerry.	58 41 2 55	Co. Fl. W. (3) period 30 ^s fl. 0.4 ^s , ec. 5.6 ^s fl. 0.4 ^s , ec. 5.6 ^s fl. 0.4 ^s , ec. 17.6 ^s	170 52	19	White tower; 118.	Siren: (old lighthouse) 1: 90 ^s Distress signals.
7340 A 3566	Lothar Rock.....	58 44 2 59	Co. Fl. W. period 30 ^s	36 11	6	Black pyramidal beacon; 40.	
7350 A 3568	Sween, Skirlie Point.....	58 42 3 07	Co. Fl. W. (2) period 20 ^s 2 fl. each 0.5 ^s	85 25	16	White tower; 74.	Horn: 2 bl. ev. 60 ^s in quiet cession. Radio-beacon. Distress signals.
7360 A 3574	Dunnet Head.....	58 40 3 22	Co. Fl. W. (4) period 30 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 14 ^s	346 105	20	White stone tower; 65	Siren: 3 bl. in quick succession ev. 60 ^s
7370 A 3578	Holburn, Little Head, W. side of Thurso Bay.	58 37 3 32	Fl. W. R. period 10 ^s fl. 1 ^s , ec. 9 ^s	75 23	W. 15 R. 11	White tower; 55	W. 108°-150°, R. -above. Horn: 1 bl. ev. 20 ^s .
7372 A 3580	Strathy Point.....	58 36 4 01	Fl. W. period 20 ^s fl. 0.5 ^s , ec. 19.5 ^s	146 45	18	White low tower on white dwelling; 45.	Diaphone: 4 bl. ev. 60 ^s
7380 A 3580	Thurso, N. head of break- water.	58 36 3 30	F. R.	15 5	4	Red post; 10	Shown from Sept. 1 to Apr. 31
7390 A 3583	— Front.....		F. G.	15 5	4	White post; 10.	
7390.1 A 3583.1	— Rear, about 195° from front.		F. G.	20 6	4	White post; 15.	
7400 A 3584	Scrabsater Harbor, head of E. pier.	58 37 3 33	F. W.	10 3	4	White post; 9.	Shown from Aug. 1 to May 31
7401 A 3583	— Outer pier.....	58 37 3 33	Co. Fl. G.	19 6	4	Post.....	
7410 A 3586	— Head of W. pier.....		F. R.	10 3	4	White circular tower; 9	Shown from Aug. 1 to May 31

23

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CABLEGRAMS "VASEFIELD NEWYORK"

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WU 62344

WU 12-9100

January 30, 1978

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OUR REF. 84928

Defense Mapping Agency
Hydrographic Center
Washington, D. C. 20390

Attention: Mr. Glenn R. DeYoung,
Chief
Navigation Information Division

SS PIONEER COMMANDER
Your Ref: Serial 7284/NVI

Dear Sirs:

Thank you for your letter of 24 January 1978. We are asking our British correspondents to pursue inquiries in the United Kingdom.

We appreciate your cooperation.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

By: *Richard H. Brown, Jr.*

RHB:tfc.

KIRLIN, CAMPBELL & KEATING

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January 6, 1978

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Defense Mapping Agency
Hydrographic Center
Washington, D.C. 20390

Attention: Mr. Glenn R. De Young
Chief
Navigation Information Division

Re: Request for information
concerning List of Lights
Pentland Skerries
Your Ref: Serial 7273/NVI

Dear Sirs:

We refer to previous correspondence in this matter,
most recently our letter of December 12, 1977.

We have now heard through our British correspondents
from the Northern Lighthouse Board, 84 George Street, Edinburgh,
EH2 3DA, Scotland that Pentland Skerries Light has been showing
its present characteristics since 1958. If that is correct, it
would appear that you or your predecessor agency have been
publishing incorrect information on the light since prior to
March 1965. Specifically, to summarize our understanding, the
situation was that you or your predecessor agency, before March
1965, showed Pentland Skerries Light's characteristics to be:

Flash 4 seconds	Eclipse 1 second
Flash 4 seconds	Eclipse 1 second
Flash 4 seconds	Eclipse 16 seconds.

You changed this in March 1965 to:

Flash 0.4 second	Eclipse 0.1 second
Flash 0.4 second	Eclipse 0.1 second
Flash 0.4 second	Eclipse 28.6 seconds.

1/6/78
84928

Meanwhile, according to the Northern Lighthouse Board, since 1958 the light in fact was operating:

Flash 0.4 second	Eclipse 5.6 seconds
Flash 0.4 second	Eclipse 5.6 seconds
Flash 0.4 second	Eclipse 17.6 seconds.

We enclose a copy of the pertinent page (240) of the Admiralty List of Lights and Fog Signals, Volume A for 1977, NP 1974, British Isles and North Coast of France showing that Pentland Skerries Light is described simply as "fl 0.4, 3 times in quick succession." The true characteristics described above are not published (at least not currently), and we learned them only by inquiry to the Northern Lighthouse Board.

Frankly, we are very puzzled as to how two wrong descriptions of the light's characteristics got into the U.S. publications, and we hope that can be cleared up. To that end:

- (1) We should be greatly obliged if you could let us have any information you have as to the characteristics your publications indicated for Pentland Skerries Light going back to, say, 1938 and also let us know, if possible, the sources for any changes that may have taken place since 1938.
- (2) You wrote earlier that you could not identify the source for the March 1965 change. However, can you tell us in general what documents (presumably British) you rely on for information as to these lights, from what agencies you have been receiving such information over the years, and the types of the publications (notices, Admiralty lists, letters, etc.) on which you generally rely.

We are trying to find out from the Northern Lighthouse Board what characteristics the light was showing before 1958.

We regret having to trouble you again. However, if possible, we do wish to understand the situation, and anything you can do to help will be appreciated.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

By: 

RHB:gt

Enclosure

Scotland - East Coast

	N/W					
WICK-(cont'd)						
3537	- Jetty, SE corner	58 26-4 3 04-9	FR	6	..	Metal mast 4
						FR on Harbour Quay not visible from seaward
3540	- North Head	58 26-6 3 03-5	Siren 30s
						bl 4, TD
3543	-	58 27-7 3 04-5	AeroAlitGpFl(4) GWG 8s
						Gfl 0-7, cc 0-6, Wfl 0-7, cc 0-6, Wfl 0-7, cc 0-6, Gfl 0-6, cc 4-1
3544	Ness Head (N)	58 28-8 3 03-0	FlWR 30s	53	W20 R17	White stone tower 18
		..	Dia(3) 90s
						fl 2-5 to S. R shore-191°, W191°-shore 3 bl each of 2-5 in quick succession

Scotland - North Coast and Orkney Islands

PENTLAND FIRTH						
3555	- Duncansby Head (N)	58 38-6 3 01-4	Fl W 6s	67	17	White tower 11
		..	Siren (5) 120s
						fl 0-7, Racon bl 2-5, 5 times in quick succession
3562	- Pentland Skerries, Muckle Skerry (N)	58 41-4 2 55-4	GpFl(3)W 30s	52	25	White tower 36
		..	Siren 90s	White tower
						fl 0-4, 3 times in quick succession Distress signals bl 7
3564	- Lother Rock (N)	58 43-8 2 58-5	QRW	11	6	Black pyramidal beacon 12
3566	- Sweeny, Near SW end (N)	58 44-2 3 00-3	Fl W 8s	17	9	White tower 7
						fl 2 W 261°-210°(309°)



DEPARTMENT OF THE NAVY
HYDROGRAPHIC CENTER
WASHINGTON, D.C. 20390

24 JAN 1978

Serial 7284/NVI

Mr. Richard H. Brown, Jr.
Kirlin, Campbell & Keating
120 Broadway
New York, N.Y. 10005

Dear Mr. Brown:

Reference is your letter 84928 of 6 January 1978.

Since 1938 the only changes to the characteristics of Pentland Skerries Light known to this Center are those you are presently aware of. That is the change made in March 1965, and the correction provided in your letter of 14 October 1977. This latest correction was published in our Notice to Mariners No. 47 dated 19 November 1977.

In general, source material available to this Center for information pertaining to lights in the concerned area is that of the Admiralty Notice to Mariners and the Admiralty List of Lights and Fog Signals. It should be noted, however, that intermittently we do receive authoritative information from third parties such as was provided in your earlier correspondence.

Sincerely,

A handwritten signature in cursive script, appearing to read "Glenn R. DeYoung".

GLENN R. DEYOUNG
Chief
Navigation Information Division



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December 12, 1977

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OUR REF. 84928

Defense Mapping Agency
Hydrographic Center
Washington, D.C. 20390

Attention: Mr. Glenn R. De Young
Chief
Navigation Information Division

Re: Request for information
concerning List of Lights
Pentland Skerries
Your Ref: Serial 7273/NVI

Dear Sirs:

Thank you for your letter of 8 December 1977.

At present we have no further questions. As mentioned earlier, we are making inquiries of the English authorities, and it is conceivable that further information from them may cause us to address you again.

We very much appreciate your cooperation.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

BY: *Richard H. Brown*

RHB: tfc.

KIRLIN, CAMPBELL & KEATING

ONE TWENTY BROADWAY

NEW YORK, N.Y. 10005

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CABLEGRAMS "VASEFIELD NEWYORK"

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WU 12-0108

December 1, 1977

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Defense Mapping Agency
Hydrographic Center
Washington, D.C. 20390

Attention: Mr. Glenn R. De Young
Chief
Navigation Information Division

Re: Request for information
concerning List of Lights
Pentland Skerries
Your Ref: Serial 7253/NVI

Dear Sirs:

Thank you very much for your letter of November 28, 1977
and its enclosure.

We regret that every communication from you seems to
inspire another question from us. However, we would very much
appreciate it if you would tell us whether there is any possi-
bility of identifying the individual who made the changes with
regard to Pentland Skerries Light on your working standard. In
that connection, it appears to us that the changes may have been
initialed or the individual may be otherwise identifiable.

We very much appreciate your cooperation.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

By:

Richard H. Brown Jr.

RHB:tfc.



DEFENSE MAPPING AGENCY
HYDROGRAPHIC CENTER
WASHINGTON, D.C. 20390

8 DEC 1977

Serial 7273/NVI

Kirling, Campbell & Keating
120 Broadway
New York, N.Y. 10005
Attn: Mr. Richard H. Brown Jr.

Dear Sirs:

Reference is your letter 84928 of 1 December 1977.

I have examined Pub. 114, Change 5 working standard, and cannot find any initials or other markings that would indicate the individual who made the correction to Pentland Skerries Light.

Similarly, personnel now in the working area have no recollection of the incident.

It is regretted that I am unable to fulfill your request.

Sincerely,

GLENN R. DEYOUNG
Chief

Navigation Information Division



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TELEX: 111 42210
WU 62344
WU 12 6100

KIRLIN, CAMPBELL & KEATING

ONE TWENTY BROADWAY

NEW YORK, N. Y. 10005

212-732-5520

November 17, 1977

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OUR REF. 84928

Defense Mapping Agency
Hydrographic Center
Washington, D.C. 20390

Attention: Mr. Glenn R. De Young
Chief
Navigation Information Division

Re: Request for information
concerning List of Lights
Pentland Skerries
Your Ref: Serial 7253/NVI

Dear Sirs:

With reference to your letter of 14 November 1977 a question has occurred which we should have mentioned in our acknowledgment.

We would appreciate it if you could tell us what characteristics were indicated for Pentland Skerries Light prior to the correction in Change 5 of March 1965. If you could furnish us a Xerox copy of the appropriate page in the List of Lights indicating the characteristics prior to that change, we would very much appreciate it.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

BY:

Richard H. Brown, Jr.

RHB: tfc.



DEFENSE MAPPING AGENCY
HYDROGRAPHIC CENTER
WASHINGTON, D.C. 20390

18 Nov 1977

Serial 7266/NVI


Kirling, Campbell & Keating
120 Broadway
New York, N.Y. 10005
Attn: Mr. Richard H. Brown Jr.

Dear Sirs:

This is in response to your letter of 17 November 1977, requesting the characteristics of Pentland Skerries Light prior to the correction in Change 5 of March 1965.

Prior to the above date the characteristics of Pentland Skerries Light was carried in Pub. 114 as Gp. Fl. W. (3), period 30 seconds, fl. 4 seconds, eclipse 1 second, flash 4 seconds, eclipse 1 second, flash 4 seconds, eclipse 16 seconds. A xerox copy of the appropriate Pub. 114 page on issue prior to Change 5 is enclosed. This copy is taken from our working standard, in preparation for Change 5, which accounts for the hand markings on the page.

Sincerely,


GLENN R. DEYOUNG
Chief
Navigation Information Division

Enclosure a/s

bc: Code CO
B. C. Wimbush

Coordinate with DMAHQ Counsel



No.	Name and location	Position lat., long.	Characteristic and power	Height of light above high water (feet)	Visibility (nautical miles)	Structure, height (feet)	Structure, Remarks, Fog signal
SCOTLAND-NORTH COAST							
7320 A 2558	Duncansby Head.....	N. W. 53 39 3 01	Fl. W. period 6 ^s fl. 0.7 ^s , ec. 5.3 ^s Cp. 30,000	220	20	White tower, 35.....	Siren 5 bl. ev. 2 mins. Telephos.
7329 A 2559	Pemland Skerries, on Muckle Skerry.	53 41 2 55 <i>0.45</i> <i>0.45</i> <i>0.45</i>	Cp. Fl. W. (3)..... period 30 ^s fl. 4 ^s , ec. 3 ^s fl. 6 ^s , ec. 2 ^s fl. 6 ^s , ec. 15 ^s Cp. 710,000	170 <i>0.15</i> <i>0.15</i> <i>2.76</i>	19	White tower, 113.....	Siren (old lighthouse) 1 bl. 90 ^s . Radiotelephos. Distress signals.
7345 A 2561	Lothar Rock.....	53 44 2 59	Cp. Fl. W. (2)..... period 10 ^s fl. 1 ^s , ec. 1 ^s fl. 1 ^s , ec. 7 ^s Cp. 400	35	10	Black pyramidal beacon, 40.	
7350 A 2558	Strons, Sallie Point.....	53 42 3 07	Cp. Fl. W. (6)..... period 30 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 1.7 ^s fl. 0.7 ^s , ec. 17.3 ^s Cp. 156,000	101	15	White tower, 74.....	Siren 2 quick bl. ev. 60 ^s . Radiobeacon. Radiotelephos.
7359 A 2571	Dunnet Head.....	53 40 3 22	Cp. Fl. W. (4)..... period 30 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 14 ^s Cp. 141,000	345	25	White stone tower, 66.....	<i>Telephone</i> Siren 3 bl. in quick success ev. 90 ^s .
7370 A 2583	Wolburn, Little Head, W. side of Thurso Bay.	58 37 3 32	Fl.—Y. R. period 10 ^s fl. 1 ^s , ec. 9 ^s Cp. W. 15,000 R. 8,000	75	14	White tower, 55.....	W. 198°-353°, R.—land. Siren 1 bl. ev. 20 ^s . Telephos. Distress signals.
7372 A 2370	Srenby Point.....	53 36 4 01	Fl. W. period 20 ^s fl. 0.5 ^s , ec. 19.5 ^s Cp. 1,600,000	135	17	Diaphos: 4 bl. ev. 50 ^s .
7380 A 2580	Thurso, N. head of break- water.	59 35 3 30	F. R. Cp. under 100	15	5	Red post; 10.....	Shown from Sept. 1 to Apr. 30
7390 A 2582	— Front.....	F. G.	15	5	White post; 10.....	
7390.1 A 2522.1	— Rear, about 185° from Coast.	F. G.	20	5	White post; 15.....	
7409 A 2584	Scrabster Harbor, head of E. pier.	53 37 3 33	F. W. Cp. under 100	10	6	Post; 9.....	Shown from Aug. 1 to May 31.
7419 A 2530	— Head of W. pier.....	F. R. Cp. under 100	10	5	White circular tower; 9.....	Shown from Aug. 1 to May 31.

28

KIRLIN, CAMPBELL & KEATING

ONE TWENTY BROADWAY

NEW YORK, N.Y. 10005

212-732-5520

CABLEGRAMS "VASEFIELD NEWYORK"

TELEX: ITT 422219

WUI 62344

WU 12-0198

November 16, 1977

WASHINGTON OFFICE
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WASHINGTON, D.C. 20036
202-296-4911

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OUR REF. 84928

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Defense Mapping Agency
Hydrographic Center
Washington, D.C. 20390

Attention: Mr. Glenn R. DeYoung,
Chief
Navigation Information Division

Re: Your Serial 7262/NVI

Dear Sirs:

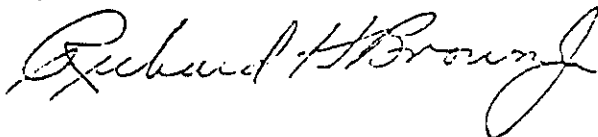
Thank you for your letter of 14 November 1977 concerning
Pentland Skerries Light.

We appreciate your cooperation in this matter and will
let you know if we have need to make any further inquiries.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

BY:



RHB:tfc.

WILLIAM A. SHEEMAN
ELMER C. MADDY
LOUIS J. GUSMANO
WALTER P. HICKEY
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NEW YORK, N.Y. 10005

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WU 12-5198

November 1, 1977

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OF COUNSEL

CHARLES MACCHLING, JR.
G. BROCKWEL HEYLIN

OUR REF. 84928

Defense Mapping Agency
Hydrographic Center
Washington, D.C. 20390

Attention: Mr. Glenn R. De Young
Chief
Navigation Information Division

Re: Request for information
concerning List of Lights
Pentland Skerries
Your Ref: Serial 7253/NVI

Dear Sirs:

Thank you for your letter of 27 October 1977.

Your letter is most helpful and we appreciate your writing. However, we would further appreciate it if we could have some additional specific information.

1. You write that the characteristics of Pentland Skerries Light, as shown in Pub. 114, "have remained unchanged for some period of time." We would appreciate it if you could tell us when those characteristics, i.e., the characteristics described on page 1 of our October 14, 1977 letter, were first published in Pub. 114 or its predecessor.

2. You also write that "Corrective information for navigational lights in these waters is taken from United Kingdom sources ..." We presume that the description of characteristics contained in Pub. 114 was obtained from a United Kingdom source. Is that correct? If so, we would appreciate your identifying the source so that our correspondent English solicitors may make the necessary inquiries in the United Kingdom.

3. Finally, now that you have received information from us indicating that the Pentland Skerries Light's characteristics may differ from those found in Pub. 114, is it correct to infer that you will check with the United Kingdom authorities to verify such a difference and ascertain when it first came into being? If so, we would appreciate learning what they tell you about it.

We thank you for your assistance so far and would appreciate your further advices.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

By: Richard H. Brown, Jr.
Richard H. Brown, Jr.

RHB:tfq.

14 NOV 1977

Serial 7262/NVI G.R.DeYoung-GS/14/31335/bhf/14 November 17/R.S. ^{298:} ~~2015~~

Kirlin, Campbell
and Keating
120 Broadway
New York, N.Y. 10005

Dear Sir:

This is in reply to your letter of 1 November 1977, requesting additional information regarding the characteristics of Pentland Skerries Light.

Our records show that the characteristics of Pentland Skerries Light was corrected in Change 5, of March 1965. Due to the length of time involved, our records no longer show the actual source for this corrective change.

Notice to Mariners No. 47 of 19 November 1977 corrected the characteristics of this light. This correction was based upon the information furnished by your Office, subsequently, we do not plan on contacting British sources unless unforeseen circumstances arise.

Sincerely,

/s/
GLENN R. DEYOUNG
Chief
Navigation Information Division

bc: DMAHQ-Code CO

LAA3 (2 cys)
NV Read
Ofc. of Recd
NVI Comeback

Coordinate with DMAHQ-Code CO

CABLEGRAMS VASEFIELD NEWYORK
TELEX. ITT 42221G
WUI 62344
WU 12-8108

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KIRLIN, CAMPBELL & KEATING

ONE TWENTY BROADWAY

NEW YORK, N. Y. 10005

212-732-5520

October 14, 1977

WASHINGTON OFFICE
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WASHINGTON, D.C. 20036
202-296-4911

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ROBERT J. HICKEY
JAMES P. MOORE
RESIDENT PARTNERS

OF COUNSEL
CHARLES W. AECHLING, JR.

OUR REF. 85062

Defense Mapping Agency
Hydrographic Center
Washington, D.C. 20390

Re: SS PIONEER COMMANDER
Stranding, Pentland Skerries
August 13, 1977

Request for information
concerning List of Lights

Dear Sirs:

We are attorneys for United States Lines, Inc., owner of the PIONEER COMMANDER, with respect to the above-mentioned stranding.

In connection with our investigation we have learned of an apparent discrepancy between the description of the characteristics of Pentland Skerries Light in the lists of lights and the light's actual characteristics. We would appreciate it if you could answer the questions set forth below.

As indicated in Attachment A, the characteristics, as described in Pub. 114, List of Lights and Fog Signals for the British Isles, English Channel and North Sea, of Light No. 7330 (Pentland Skerries) are:

Gp. Fl. W. (3), period 30s
Fl 0.4s, EC 0.1s
Fl 0.4s, EC 0.1s
Fl 0.4s, EC 28.6s.

So far as we can determine, there has been no subsequent published change to those characteristics in Notices to Mariners or elsewhere. Our questions are:

Question 1: What is the specific source and date of your information that Pentland Skerries Light had the above-described characteristics?

Question 2: (a) Have you received any information that there has been any change in the light's characteristics from those stated above? (b) If so, please tell us the source(s) and date(s) of such information.

Question 3: (a) Have you issued any notice of any change in the light's characteristics from those stated above? (b) If so, please describe such notice and give the date thereof.

In answering Questions 1 through 3, we would appreciate it if you could also furnish Xerox copies of any documents you refer to. We would be happy to pay any charges in connection with your response to our requests.

We should point out that Messrs. Hill, Dickinson & Co., an English firm of solicitors who also represent the PIONEER COMMANDER interests, have made and are making inquiries of the British authorities as to the light's characteristics. They have received a reply from the Northern Lighthouse Board dated October 3, 1977 (copy enclosed as Attachment B) indicating that the light's characteristics were:

Fl 0.4s, Ec 5.6s
Fl 0.4s, Ec 5.6s
Fl 0.4s, Ec 17.6s
Total 30 seconds.

As you can see, this differs from the information in Pub. 114. Attachment B does not say when the light commenced showing those characteristics. Moreover, we are informed that the British Admiralty List of Lights and Fog Signals, Volume A.1977, British Isles and North Coast of France describes the light as "Gp. Fl. (3) W 30s" and "Fl. 0.4, 3 times in quick succession" without further detail as to precise periods of flash and eclipse. So far as we know, there has been no modification of that description, at least prior to the stranding. The description seems inconsistent with the description in Attachment B, but does seem consistent with the description in Attachment A. Messrs. Hill, Dickinson are inquiring

further in England as to these apparent discrepancies and uncertainties.

We trust that you will be able to answer the above questions and look forward to your advices.

Very truly yours,

KIRLIN, CAMPBELL & KEATING

BY:


Richard H. Brown, Jr.

RHB:tfc.
Encls.

cc (w/o enc.):
Messrs. Hill, Dickinson & Co.
Attention: M. John Maxwell, Esq.

ATTACHMENT A

(from PUB. 114)

(1) No.	(2) Name and location	(3) Position lat. long.	(4) Characteristic	(5) Height	(6) Range (in lms)	(7) Structure, height (feet)	(8) Sectors, Remarks, Fog signals
SCOTLAND-NORTH COAST							
7320 A 3554	Duncansby Head	N. W. 58 39. 3 01	Fl. W. period 6 ^s fl. 0.7 ^s , ec. 5.3 ^s	220 67	17	White tower; 35.	Siren: 5 bl. ev. 2 mins. Racon.
7320 A 3552	Pentland Skerries, on Muckle Skerry.	58 41 2 55	Gp. Fl. W. (3) period 30 ^s fl. 0.4 ^s , ec. 0.1 ^s fl. 0.4 ^s , ec. 0.1 ^s fl. 0.4 ^s , ec. 28.6 ^s	170 52	19	White tower; 118.	Siren: (old lighthouse) 1 bl. ev. 90 ^s . Distress signals.
7340 A 3554	Lothar Rock	58 44 2 59	Qk. Fl. W.	35 11	6	Black pyramidal beacon; 40.	
7350 A 3548	Strom, Swilkie Point	58 42 3 07	Gp. Fl. W. (2) period 20 ^s 2 fl. each 0.5 ^s	55 23	16	White tower; 74.	Horn: 2 bl. ev. 60 ^s in quick succession. Radiobeacon. Distress signals.
7350 A 3574	Dunnet Head	58 40. 3 22	Gp. Fl. W. (4) period 30 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 4 ^s fl. 1 ^s , ec. 14 ^s	346 105	20	White stone tower; 66	Siren: 3 bl. in quick succession ev. 90 ^s .
7370 A 3572	Dolphin, Little Head, W. side of Thurso B. y.	58 37 3 32	Fl. W. R. period 10 ^s fl. 1 ^s , ec. 9 ^s	75 23	W. 15 R. 11	White tower; 55	W. 198°-358°, R.-shore. Horn: 1 bl. ev. 20 ^s .
7372 A 3590	Snathy Point	58 36 4 01	Fl. W. period 20 ^s fl. 0.5 ^s , ec. 19.5 ^s	146 45	18	White low tower on white dwelling; 45.	Diaphone: 4 bl. ev. 90 ^s .
7380 A 3580	Thurso, N. head of break-water.	58 36 3 30	F. R.	15 5	4	Red post; 10	Shown from Sept. 1 to Apr. 30.
7390 A 3582	— Front		F. G.	15 5	4	White post; 10	
7390.1 A 3582.1	— Rear, about 195° from front.		F. G.	20 6	4	White post; 15	
7400 A 3584	Scrabster Harbor, head of E. pier.	58 37 3 33	F. W.	10 3	4	White post; 9	Shown from Aug. 1 to May 31.
7401 A 3583	— Outer pier	58 37 3 33	Qk. Fl. R.		3		
7410 A 3586	— Head of W. pier		F. R.	10 3	4	White circular tower; 9	Shown from Aug. 1 to May 31.
SCOTLAND-ORKNEY ISLANDS							
7420 A 3566	Swona, near SW. extremity	58 44 3 04	Fl. W. period 5 ^s fl. 2 ^s , ec. 6 ^s	57 17	9	White tower; 22	Obscured 210°-261°.
7430 A 3600	Tor Ness, S. side of Hoy Island.	58 47 3 18	Fl. W. period 3 ^s fl. 1 ^s , ec. 2 ^s	64 20	9	White tower on concrete base; 22.	
7440 A 3602	Cantick Head	58 47 3 08	Fl. W. period 20 ^s fl. 0.6 ^s , ec. 19.4 ^s	115 35	17	White tower; 73.	Storm signals. Horn: 1 bl. ev. 30 ^s . Distress signals.
7420.4 A 3566.4	— N. head	58 45 3 03	Gp. Fl. W. (3) period 10 ^s fl. 0.5 ^s , ec. 1 ^s fl. 0.5 ^s , ec. 1 ^s fl. 0.5 ^s , ec. 6.5 ^s	54 16	10	Column; 6	

ATTACHMENT B



NORTHERN LIGHTHOUSE BOARD
84 George Street Edinburgh EH2 3DA
Telegrams Lighthouse Edinburgh
Telephone 031-226 7051
Telex 72551 (Lighthouse Edin)

84928

Hill, Dickinson & Co
Equity & Law House
47 Castle Street
LIVERPOOL
L2 9UB

Your reference
JJDG
Our reference
JRW/DS
Date
3 October 1977

Dear Sir

PENLAND SKERRIES LIGHTHOUSE
STRANDING OF "PIONEER COMMANDER"

I write to acknowledge receipt of your letter of
23 September 1977 and in reply to inform you that:-

- (a) The character is produced by a revolving 4th Order
(250mm focal distance) lens
- (b) The short dark period between flashes in the group
is 5.6 secs so that the whole cycle of 30 secs is
made up as follows:

Flash	0.4 sec	} All rounded to nearest tenth of a second
Eclipse	5.6 secs	
Flash	0.4 sec	
Eclipse	5.6 secs	
Flash	0.4 sec	
Eclipse	17.6 secs	
<u>TOTAL</u>	30.0 secs	

Our information is that the light was flashing to
character.

Yours faithfully

J.R. Welsh

J R Welsh, Secretary

Serial 7253/NVX G.R.DeYoung/GS/14/31335/bhf/27 October 77/R.S.2900

Mr. Richard H. Brown, Jr.
Kirlin, Campbell & Keating
120 Broadway
New York, N.Y. 10005

Dear Mr. Brown:

This is in reply to your letter 85062 of 14 October 1977,
requesting details regarding the correct characteristics of
Pentland Skerries Light.

The characteristics, as shown in Pub. 114, for this light
have remained unchanged for some period of time. Corrective
information for navigational lights in these waters is taken
from United Kingdom sources, since they are the prime authority
for that area.

Until receipt of your letter (Attachment B), this Center had
not received information regarding any changes or alterations
to Pentland Skerries Light.

We hope the above information will be of help to you.

Sincerely,

/s/

GLENN R. DEYOUNG
Chief
Navigation Information Division

NOTE: Coordinated with
Mr. B. Wimberly (Code CO)
who advised reply be made on low key

bc: Mr. B.C. Wimberly
Code CO
Defense Mapping Agency
Bldg. 56, Naval Observatory
Washington, D.C. 20305

cc: LAA3 (2 cys)
NV Read
Ofc of Rcd ←
NVI Comeback

25

Admiralty

LIST OF LIGHTS

and Fog Signals

*See ^{BA} NMA 40/8 for
Corrections until new
Ed ~~A~~ arrives*

VOLUME ~~A~~ 1977

BRITISH ISLES AND NORTH COAST OF FRANCE

FROM DUNKERQUE TO
ENTRANCE TO
GOULET DE BREST
INCLUDING NORTH SEA OIL &
GAS PRODUCTION INSTALLATIONS

*Corrected to ANM Weekly
Edition No 1/77 dated
15th January 1977*

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N/W

Scotland -- East Coast

WICK--(contd)

3537	- Jetty, SE corner	58 26.4 3 04.9	FR	6	..	Metal mast	
8538	- Harbour Quay	58 26.4 3 05.1	FR	4	FR on Harbour Quay not visible from seaward
3540	- North Head	58 26.6 3 03.5	Siren 30s	Marks end of slipway bl 4, TD
3543	-	58 27.7 3 04.5	AcroAltGpFl(4) GWVG 8s	Gfl 0.7, cc 0.6, Wfl 0.7, cc 0.6, Wfl 0.7, cc 0.6, Gfl 0.6, cc 4.1
3544	Noss Head (N)	58 28.8 3 03.0	Fl WR 30s Dia(3) 90s	53	W20 R17	White stone tower 18	fl 2.5 to 5. R shore--191°, W191°--shore 3 bl each of 2.5 in quick succession

Scotland -- North Coast and Orkney Islands

PENTLAND FIRTH

3558	- Duncansby Head (N)	58 38.6 3 01.4	Fl W 6s Siren (5) 120s	67	17	White tower 11	fl 0.7. Racon bl 2.5, 5 times in quick succession
3562	- Pentland Skerries. Muckle Skerry (N)	58 41.4 2 55.4	GpFl(3)W 30s Siren 90s	52	25	White tower 36 White tower	fl 0.4, 3 times in quick succession Distress signals bl 7
3564	- Lothar Rock (N)	58 43.8 2 58.5	QkFl W	11	6	Black pyramidal beacon 12	
3566	- Swona. Near SW end (N)	58 44.2 3 04.1	Fl W 8s	17	9	White tower 7	fl 2. Vis 261°--210°(309°)
3566-4	N head	58 45.1 3 03.0	GpFl (3) 10s	16	10	Pillar	fl 0.5, 1.0, 1.5, 2.0, 2.5, 3.0, 3.5, 4.0, 4.5, 5.0

CHANGE NO. 1 10 JAN. 76	PUB. 141
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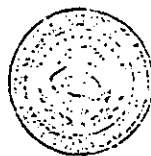
LOOSE LEAF CHANGE PAGES FOR CORRECTING

SAILING DIRECTIONS
(ENROUTE)

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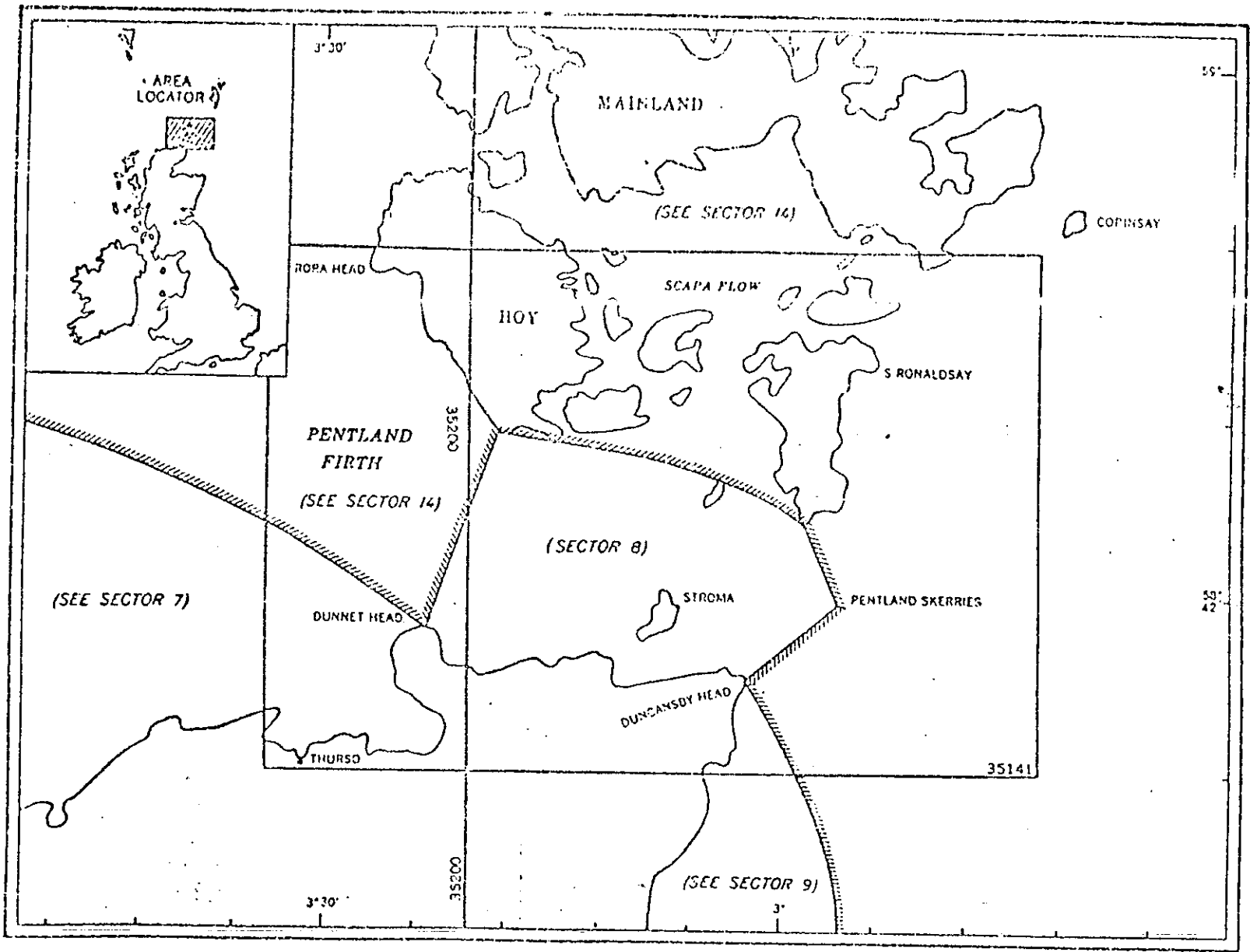
SCOTLAND

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DMA STOCK No. SDPU 141CH



Additional chart coverage may be found in No. 1-N, Catalog of Nautical Charts.

Pub. 141

SECTOR 8

PENTLAND FIRTH

PLAN.—Pentland Firth is described in this sector. The sequence is from west to east.

The south side of the firth from Dunnet Head to Duncansby Head is described first, then the north side, from Tor Ness to Cantick Head.

General.—Pentland Firth is the strait separating the Orkney Islands from the N coast of Scotland. The strait is about 15 miles long in an E—W direction, and Outer Sound, the main channel, lying between the islands of Stroma and Swona, is about 2 $\frac{1}{4}$ miles wide and has depths of 54.8m (30 fm) to 73.1m (40 fm). Inner Sound, a channel about 1 $\frac{1}{2}$ miles wide and with general depths of over 21.9m (12 fm), lies between Stroma and the coast of Scotland.

Pentland Firth is deep and comparatively danger-free, but because of the rapidity of the tidal currents and the unusual conditions resulting therefrom, its navigation can be particularly difficult and hazardous at times. A careful study of the tidal currents should be made before navigating Pentland Firth. The tidal currents in the Outer Sound attain a velocity of 7 to 9 knots, and those in the Inner Sound may attain a rate of 4 to 5 knots. The latter channel is naturally preferable when the current is adverse.

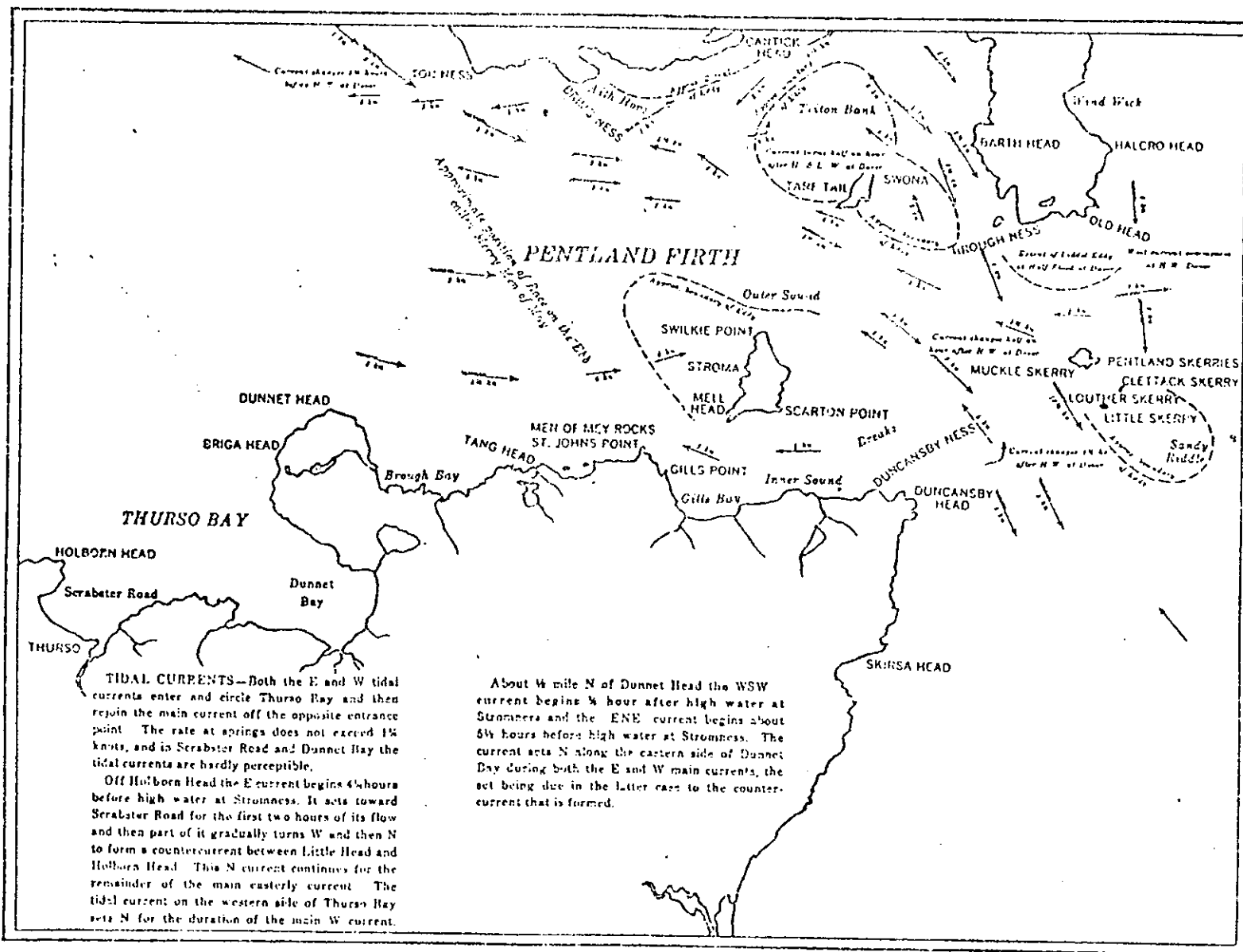
When the sea is smooth and the wind light Pentland Firth is not dangerous, but vessels can easily get into difficulty when encountering the heavy seas that are raised when strong winds and swells oppose the strong tidal currents.

The rapid change from smooth to rough water and the distinct lines of demarcation between the currents and countercurrents and eddies that prevail in the vicinities of the islands and skerries are notable characteristics of Pentland Firth. Even large vessels passing from one current into another may be violently swung around. Vessels entering Pentland Firth should be prepared for rough weather.

Extreme caution is necessary when navigating Pentland Firth in hazy weather and passage through the strait should not be attempted in fog. In the latter event vessels should remain to the westward of Strathy Point.

Note.—Peculiarities concerning the audibility of fog signals in Pentland Firth have been noted. At times the fog signals were less audible when a ship was proceeding toward a fog signal with the stream than against the stream.

The likelihood of hearing the fog signal has been found to be considerably less on the west-going than on the east-going current for vessels approaching Muckle Skerry from the eastward.



SECTOR 8—CURRENTS

CURRENTS

Tidal Currents.—The tidal currents for Pentland Firth are shown as insets on the current charts for the Orkney Islands in Sector 14.

Tidal Currents—General Information.—The strong tidal currents, and the tide rips, overfalls, countercurrents, and eddies resulting therefrom, can seriously impede navigation through Pentland Firth. The wide variations in the set and drift of the tidal currents, and the variability in the extent of the rips and countercurrents, make it difficult to allow for their effects with any degree of accuracy. Over a comparatively small area there may be an appreciable difference in the direction and strength of the currents.

Main Currents in Pentland Firth.—The main Easterly current sets through Outer Sound and passes N and S of Pentland Skerries, the S branch setting SE between the skerries and Duncansby Head.

The N part of the main E current sets NE between South Walls and the island of Swona, partly branching N in Scapa Flow and partly turning S between Swona and South Ronaldsay and rejoining the main midchannel current setting through Outer Sound.

The S part of the main E current sets toward the island of Stroma. Close W of the island it divides, partly setting NE, and continuing as the main current, and partly turning SE and thence through Inner Sound and rejoining the main current off Duncansby Head.

The main W current enters Pentland Firth N and S of Pentland Skerries, the branch S of the skerries setting past Duncansby Head in a NW direction. The main body of the current sets through Outer Sound. Westward of Pentland Skerries the N part of the main current branches N to pass between Swona and South Ronaldsay and then W, passing N of Swona and joining the current setting S out of Scapa Flow. These combined currents then set SW between Swona and South Walls and merge into the main W current setting through Outer Sound.

The S part of the main W current separates at the island of Stroma, partly passing through Outer Sound and partly setting S of the island through Inner Sound. This latter branch sets NW out of Inner Sound and then W through the W part of Pentland Firth.

Note.—There is little current at the sides of the channel, and both currents begin 3 hours later than in midchannel. This situation is probably due to countercurrents.

TIDE RIPS—OVERFALLS

In Pentland Firth there are two areas where tide rips occur during both the E and W currents, two areas where they occur during the E current only, and one area where they occur during the W current. The Bore of Duncansby and the Swilkie occur during both the E and W tidal currents. The West Bore of Huna and the Swona Flood Eddy Race occur during the E current. The Merry Men of Mey, a race, occurs during the W current in Pentland Firth.

The Bore of Duncansby.—This tide rip and overfall is caused by the current running over the foul ground extending NW from Duncansby Ness. It begins 5½ hours before high water at Stromness and while the W current is still running. It extends toward Pentland Skerries. When the E current begins about 3¼ hours before high water at Stromness, the area of broken water gradually shifts around to the NW. About ½ hour before high water at Stromness, when the E current is strongest, the rips extend beyond the 9.4m (31 ft.) depth near the outer extremity of foul ground, the sea breaking heavily over this depth until about 2½ hours after high water at Stromness.

The Swilkie.—This tide rip, which occurs off Swilkie Point, the N extremity of Stroma, is caused by the countercurrents along the E or W side of Stroma meeting with the main current running through Outer Sound. Rips and whirlpools, which are very heavy when strong winds oppose the main current, are formed. The Swilkie is present at all times except near slack water.

The West Bore of Huna.—This tide rip occurs when the E current is deflected by the island of Stroma through Inner Sound and toward Huna Ness. It is dangerous during N and SE gales.

Swona Flood Eddy Race.—This area of broken water is raised when the general E current N of Swona turns SE and meets the N countercurrent setting along the E side of the island. The rips and whirlpools extend SE from North Head, the N extremity of Swona.

Merry Men of Mey.—This rip extends entirely across the W end of Pentland Firth during the strength of the W current. It begins about 2¼ hours after high water at Stromness and when the current begins to set W through Inner Sound. For the first hour of the W current the rips extend W from the Men of Mey Rocks toward Dunnet Head. As the velocity of the current increases the rips gradually trend NW toward Tor Ness on the opposite side of Pentland Firth, and at the strength of the current the rips extend clear across the W end of the firth. Even in fine weather the rips create a heavy and broken sea. During the last two hours of the main W current through the firth the rips become detached from the Men of Mey Rocks, leaving a passage between the rocks and the broken sea. During W gales or swells and when the current is strongest a terrific turbulence across Pentland Firth is created. This band of broken water forms a natural breakwater, and vessels of sufficient power to avoid being set into it can safely navigate to the E of the Merry Men of Mey.

COUNTERCURRENTS IN PENTLAND FIRTH

During strong tidal currents a countercurrent is setup behind nearly every salient point as the main current sets past.

In the following description the term "eddy" is often synonymous with the term "countercurrent."

Eddies—Easterly Current.—In Pentland Firth there are seven principal eddies or countercurrents during the eastgoing current.

Brough Bay Eddy.—This countercurrent is formed when the E current sets past Dunnet Head. It sets N along the land between Brough Bay and Dunnet Head during all but about the first half hour of the E current.

Gills Bay Eddy.—The countercurrent in Gills Bay is caused by the E current in Pentland Firth setting past St. John's Point. It sets N between Gills Bay and St. John's Point for about the last 3 hours of the E tidal current.

Stroma Flood Eddy.—This eddy, which actually consists of two countercurrents, extends as far as 1 mile E from the E side of Stroma. Part of the main current setting around each end of the island circles around towards its E side

and follows the coast, rejoining the main current off each extremity.

Swona Flood Eddy.—This eddy extends up to nearly 2 miles SE from the E side of the island of Swona. It is similar to the Stroma Flood Eddy.

Switha Eddy.—The island of Switha lies NE of Cantick Head, the SE extremity of South Walls, and is separated from it by Cantick Sound. The current setting S out of Cantick Sound forces the main E current along the S side of South Walls away from the land and then sets towards Brims Ness as a countercurrent. The current out of Cantick Sound begins at about the time of high water at Stromness. The countercurrent extends as far as ¾ mile offshore.

Liddel Eddy.—This countercurrent along the S coast of South Ronaldsay is caused by the main E current being forced away from the land by the current setting S along the E side of South Ronaldsay; the latter current begins about 2 hours before high water at Stromness and as it increases in force it pushes the main E current offshore and runs W toward Lothar Rock. The countercurrent increases in size until about ¼ hour before high water at Stromness it occupies about half the area between South Ronaldsay and Muckle Skerry, and by 1½ hours after high water at Stromness and near the end of the E current through Pentland Firth there is only a very narrow band of E current close N of Muckle Skerry.

Pentland Skerries Flood Eddy.—This NW countercurrent forms on the SE side of Pentland Skerries, and it may extend up to 3 miles SE from Little Skerry and Clettack Skerry. Its rate seldom exceeds 1½ knots.

Eddies—Westerly Current.—The four main countercurrents set up by the westgoing current in Pentland Firth are described next.

Pentland Skerries Ebb Eddy.—During the main W current in Pentland Firth small eddies are formed to the W of Muckle Skerry and to the NW of Little Skerry and Clettack Skerry.

Lothar Rock Eddy.—This countercurrent forms W of Lothar Rock. The main W current curves around the rock and towards the W side of South Ronaldsay, finally setting into Bur Wick, the small bay lying NE of Lothar Rock.

Swona Ebb Eddy.—This countercurrent is similar to Swona Flood Eddy, only it occurs on

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the W side of the island. During the strength of the main W current, it may extend up to about 3 miles NW from the island.

Stroma Ebb Eddy.—Has countercurrent may extend to the Merry Men of Mey, about 2½ miles NW of Stroma, during strength of the W current. It is similar to the Stroma Flood Eddy.

rocky bottom makes it unsuitable as an anchorage.

Except for The Clets (Cletts) of Brough, two rocky islets in the SW corner of the bay, the bay is free of dangers beyond a distance of 4½ yards offshore.

NAVIGATIONAL AIDS

Electronic Navigation.—The following rates apply to this position 58°42' N., 3°20' W.

Loran A.—The probable skywave error of 1L0 is 2820 yards. The probable groundwave errors of 1L6, 1L7 and 1S1 are 280,910, and 185 yards, respectively. The crossing angles between 1L0 and 1L6, 1L0 and 1L7, 1L0 and 1S1, 1L6 and 1L7, 1L6 and 1S1, 1L7 and 1S1 are 50°, 25°, 65°, 25°, 110°, and 35° respectively.

Loran C.—The probable groundwave errors for 7970 W, 7970X, 7970Y, and 7970Z are 15, 35, 80, and 110 yards respectively. The crossing angles between W and X, W and Y, W and Z, X and Y, X and Z, Y and Z, are 42°, 82°, 62°, 39°, 19°, and 20° respectively.

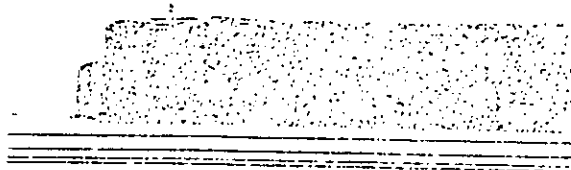
Omega.—The probable errors of A-B, A-D, B-D, B-H, and C-H are 670, 1415, 665, 1255, and 865 yards respectively. The crossing angles between A-B and A-D, A-B and B-D, A-B and B-H, A-B and C-H, A-D and B-D, A-D and B-H, A-D and C-H, B-D and B-H, B-D and C-H, B-H and C-H are 47°, 0°, 44°, 27°, 44°, 82°, 75°, 44°, 27°, and 17° respectively.

PILOTAGE

Pilots.—There are no licensed pilots for Pentland Firth available locally, however, the services of pilots for deep-sea and coastwise navigation may be obtained on application to the Forth Pilotage Authority at Leith.

PENTLAND FIRTH—SOUTH SIDE

Coast.—From Dunnet Head, the SW entrance point to Pentland Firth, the coast trends generally SSE 1¼ miles and then E 2 miles, forming Brough Bay. Depths in the bay range from 14.6m (8 fm) to 36.5m (20 fm), but its



VIEW OF DUNNET HEAD

DUNNET HEAD (58°40' N., 3°22' W.), the N extremity of Scotland and the SW entrance point to Pentland Firth, is a sheer cliff, 122m (400 ft.) high, lying about 2¼ miles NNE of Rough Head. The coast between these two points consists of steep cliffs.

A light is shown on Dunnet Head.

SCARFSKERRY POINT (58°39' N., 3°17' W.), this double-headed point, 9m (30 ft.) high, forms the E entrance point to Brough Bay.

Between Scarfskerry Point and St. John's Point the coast is fringed by a reef up to 500 yards offshore. Mey Bay, a small, shallow bight, lies about midway between the points.

ST. JOHN'S POINT (58°40' N., 3°21' W.), a rugged headland 14.6m (19 ft.) high, is located about halfway between Dunnet Head and Duncansby Head, the NE extremity of Scotland. Mey Hill rises to a height of 72m (235 ft.) immediately S of St. John's Point.

The Men of Mey Rocks, a group of partly drying and above-water rocks, lie close N of St. John's Point. The outermost, a sunken rock, is about 400 yards offshore.

Off-lying Banks.—A bank with depths of 14.6m (8 fm) to 18.3m (10 fm) lies about 1½ miles NW of St. John's Point. Another bank 2½ miles NNW of the point has depths of 21.9m (12 fm) to 36.5m (20 fm).

GILLS BAY (58°39' N., 3°09' W.) is entered between Crees Head and Quoys (Quoyis) Ness.

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The light is backed by steeply sloping hills and fringed by a reef, but there are no dangers more than 400 yards offshore.

The rocky, sandy bottom is poor holding ground.

A depth of 7.5m (25 fm) lies about one mile ENE of Quoys Ness, almost ½ mile offshore.

DUNCANSBY NESS (58°29' N., 3°03' W.) is a low grassy point fringed by a reef, a drying rock lies 300 yards NW of the point. There is a rocky depth of 9.4m (31 ft.) at the N end of a rocky tongue that extends about a mile NNW from Duncansby Ness.

Duncansby Head lies almost a mile ESE of Duncansby Ness, it is described with the coast S of it in Sector 9.

ISLANDS

Stroma (58°41' N., 3°07' W.).—The island of Stroma, some two by one miles in extent in a general N.—S direction, lies on the S side of Pentland Firth about 1½ miles N of the mainland. It is separated from Scotland by the Inner Sound. The W side of the island consists almost entirely of cliffs with sunken and drying rocks extending up to 150 yards offshore. The E side of Stroma is mostly flat rock. Cairn Hill, the summit of the island 49m (162 ft.) high, lies close NW of Scarton Point the SE end of the island. A small pier and landing place is located on the S side of the island W of Scarton Point.

STROMA SKERRIES extend 400 yards S from Mell Head, the SW extremity of Stroma. These drying rocks are steep-to on their W sides and shelving on their S and E sides.

Beacon.—A black pyramidal beacon, 40 feet high, consisting of iron pillars topped by a cylindrical cage, marks the SW limits of Stroma Skerries.

Anchorage.—An anchorage area of limited extent lies off the S side of Stroma. Vessels can anchor in 14.6m (8 fm), shalls, with Mell Head bearing 267° and the small pier on the S side of the island bearing 013°. There is very little tidal current at the anchorage, but the countercurrent attains a velocity of about one knot.

SWILKIE POINT (58°42' N., 3°07' W.) is the N extremity of Stroma. Stroma Light is shown on the point.

Swona (58°45' N., 3°03' W.).—Swona Island, about half the size of Stroma, lies on the N side of Pentland Firth. The E side of the island is chffy and steep-to, the W side is low and fringed with rocks. Warbister Hill, the summit of the island is 41m (134 ft.) high. Detached rocks lie up to 300 yards off the W and SE sides of the island.

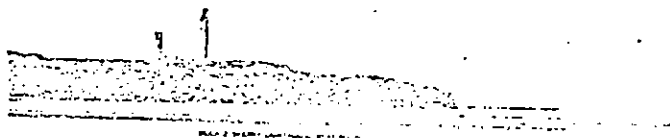
A light is shown on the N side of Tarf Tail the SW extremity of Swona.

Triton Bank, a rocky depth of 36.5m (20 fm) lies 1¼ miles NW of North Head, the N point on Swona.

Pentland Skerries (58°41' N., 2°55' W.).—Pentland Skerries are the islets and rocks lying in the fairway of the E entrance to Pentland Firth. The entrance through the firth leads either N or S of the skerries.

MUCKLE SKERRY, the largest and northernmost of the Pentland Skerries, is a flat grassy islet, 15m (50 ft.) high. Reefs up to 200 yards wide fringe the islet and Bow, a sunken rock with a depth of less than 1.8m (6 ft.), lies close off its NW side.

A light is shown on Muckle Skerry.



LITTLE SKERRY, a rocky islet 6m (20 ft.) high, lies ¾ mile SSE of Muckle Skerry. Rocks extend W 400 yards from the W end of Little Skerry.

Depths in the channel between the islets range from 21.9m (12 fm) to 36.5m (20 fm).

CLETTACK SKERRY, a group of above-water rocks, and **LOUTHER SKERRY**, an above-water rock with sunken rocks extending 200 yards SW from it, lie respectively about ¾ mile and ½ mile NE of Little Skerry. The passages between the islets are foul.

A bank ½ mile wide between the 36.5m (20 fm) curves extends 3½ miles SE from Little

DIRECTIONS

General.—Large vessels, with sufficient power to stem an unfavorable tide, will experience no difficulty in navigating Pentland Firth. The shores are danger-free beyond a short distance off, and the channels are wide and deep. Outer Sound is the channel generally used, although Inner Sound may be used when the tidal currents are unfavorable.

At night Outer Sound only should be used. The light on Muckle Skerry in range with the light on the N end of Stroma, bearing 094°, leads through the W entrance of Pentland Firth. When about 2 miles W of the light on Stroma, vessels should edge N so as to give the light a berth of about ½ mile. After passing the island of Stroma, vessels should gradually bring the light or the S end of the island of Swona to bear 526° astern, maintaining this bearing to pass between Duncansby Head and Pentland Skerries.

In hazy weather extreme caution is necessary, and in foggy weather, vessels from W should not proceed E of Strathy Point, which lies about 20 miles W of the W entrance point.

Vessels proceeding W through Inner Sound, during the strength of the E current, after passing Huna Ness, should keep somewhat N, in order to avoid being set toward Quoys Ness and into Gills Bay.

Directions.—Low-Powered Vessels.—The following directions are given for low-powered vessels that may experience some difficulty in navigating the firth. A pilot should be employed by those low-powered vessels that are not familiar with the navigation of the firth.

The term, low-powered vessels, applies to vessels capable of a speed of no more than 10 knots.

Vessels approaching from W with the E current, when within 1½ miles of Stroma, and intending to pass through Inner Sound, should keep Duncansby Head bearing less than 110° and open S of Mell Head, to avoid getting out of the fair current. No special directions are necessary until well up to St. John's Point, when Inner Sound should be used if at the early part of the current, and Outer Sound if at the latter part. Vessels must take care in the latter case to avoid the eddy on the E side of Stroma, and to keep in mid-channel between Duncansby Head

and the Pentland Skerries so as to retain the last of the E current.

Outer Sound is always to be preferred by large vessels because of its width and the rate of the fair current, but not of course with an adverse current.

Vessels approaching from W during the W current, if the sea is not too heavy, should approach Dunnet Head to a distance of about ½ mile, and then steer directly for the center of Stroma, under which there will be less sea and current. Vessels that cannot stem the adverse current should keep near the E side of Dunnet Head, haul into Brough Bay, and keep within ½ mile of the coast thence to St. John's Point. When thus far, if the current continues strong, they should stand right across the race named the Merry Men of Mey into the eddy W of Stroma. Thence, from close under Mell Head, they should steer across into Gills Bay, and along the coast, within ½ mile of it, until Duncansby Head has been rounded. Alternately they may keep to the N side of the channel, for on either side of Inner Sound slack water and possibly a fair eddy current will be experienced while the main current in the center of Inner Sound is W.

Vessels approaching from W in thick weather are advised to heave to abreast Strathy Point, and on no account should attempt to pass through the firth.

Vessels approaching from W, at night, if Holborn Head has been identified before dark, are advised to anchor in Scrabster Road and await the E current. With normal visibility and a fair current the directions given for full-powered vessels will apply.

Vessels approaching from SE, during the easterly current, should keep close to the coast northward of Freswick Bay, the N entrance point of which is located about 3 miles S of Duncansby Head Light, for along this coast to Duncansby Head there are 10 hours of slack water, and there is probably also a N eddy, during part, at least, of this period. By doing this a vessel will be ready to round the head at the turn of the current, whereas by keeping in mid-channel over toward the Pentland Skerries, where the SE current continues for about 1 hour after high water at Dover, the risk is run of being carried SE. In rounding Duncansby Head, care must be taken to avoid the several dangers lying close off it.