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DEFENSE TECHNICAL INFORMATION CENTER

Cataloging, Abstracting and Indexing Guidelines

Approved for public release; distribution unlimited

DEFENSE TECHNICAL INFORMATION CENTER

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PREFACE

This publication outlines the basic guidelines for descriptive and subject cataloging of scientific and technical information resources collected by the Defense Technical Information Center (DTIC). It is arranged by Technical Report (TR) data element Field number, followed by alphabetical indexes. Each Field entry contains the title, maximum number of characters allowed, definition, purpose, chief source(s) of information and form(s) of entry.

DTIC Cataloging Guidelines

Purpose

DTIC Mission

The Defense Technical Information Center (DTIC) is responsible for the acquisition, dissemination and enhancement of scientific and technical information. DTIC collects research funded by the Department of Defense, DoD-related/associated research from other U. S. Government agencies (e.g. FEMA, FAA, NBS) and military research received from some foreign governments and NATO on an exchange basis. DTIC's collection also includes management of military resources and items from foreign sources on topics of military interest.

The Technical Report (TR) database allows the efficient delivery of reports and bibliographic services to users. DTIC also has two management information databases: Independent Research and Development (IR&D) and Research Summaries (RS), formerly the Technical Effort and Management System (TEAMS) and originally the Work Unit Information System (WUIS). These databases are accessed through Private STINET. DTIC's major databases have undergone two migrations in the past five years. In 2003 the former Web Enabled DROLS (WED) was reengineered as Private STINET. In 1999 the Defense RDT&E Online System (DROLS) became available on the World Wide Web renamed as Web Enabled DROLS (WED). Each database has specialized data elements. This manual is restricted to descriptive and subject indexing elements in the TR database.

Subject Analysis Branch (DTIC-OCS)

DTIC-OCS provides descriptive cataloging and subject access to the TR database. DTIC uses descriptive cataloging to identify and record bibliographic data to provide meaningful descriptions for users of Private STINET, National Technical Information Services (NTIS) databases, and other databases carrying unclassified, unlimited DTIC citations. This is based on the *Anglo-American Cataloging Rules (AACR2)*. AACR2 states that "the objectives of descriptive cataloging are: 1) to state the significant features of an item with the purpose of distinguishing it

from other items and describing its scope, contents, and bibliographic relation to other items; 2) to present these data in an entry which can be integrated with the entries for other items in the catalog and which will respond best to the interests of most users of the catalog." Entries in each field are standardized in content and format to ensure accurate retrieval. These *Guidelines* provide a working reference tool for the selection of data included in Technical Report cataloging fields.

DTIC Cataloger Analysts assign subject Fields and Groups to Technical Reports in DTIC, which are also used in Current Awareness Bibliographies (CAB), Automatic Document Distribution (ADD) and National Technical Information Services (NTIS) databases. Cataloger Analysts also propose new terms for addition to DTIC's controlled vocabulary.

This manual provides basic guidelines for selecting and editing abstracts of Technical Reports for Machine Aided Indexing (MAI) and for post-MAI review of titles and indexing. Special consideration is given to the abstracting and indexing of classified reports with respect to security procedures. These *Guidelines* are an update to the 1994 version of the *Cataloging Guidelines* and the *Abstracting and Indexing Guidelines* prepared in 1989.

Revised: 8 August 2003

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¹ Removed the following sections because they are no longer used:
Cataloging of Magnetic Tapes, Conversion of Distribution Statements and
the section on Search Proceedings.

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Revised: 24 November 2003

FIELD 1 - ACCESSION NUMBER

(9 characters)

Definition: The AD-accession number is an alphanumeric number used to identify the item and is automatically assigned by the Electronic Document Management System (EDMS) to every record input into the Technical Report database. The first two letters of the prefix "AD-" indicate that the material is an accessioned item, e.g., AD-A080 800.

Purpose: The Accession Number is assigned for purposes of control by DTIC. The item can be identified and retrieved by using the Accession Number.

Chief Source of Information: Items are automatically assigned Accession Numbers by EDMS in numerical order according to their distribution/classification when they are forwarded from the Citation Build stage.

Rules and Procedures:

1. The following is a summary of Accession Number ranges:

a. Announced Accession Number Ranges

AD-A000 001 and up - unclassified/unlimited distribution

AD-A800 000 - AD-A899 999 - unclassified/unlimited ATI/TIP collection - prior to 1996, ATI/TIP items were not assigned a separate number range

AD-B000 001 and up - unclassified/limited

AD-B800 000 - AD-B899 999 - unclassified/limited ATI/TIP collection

AD-C000 001- and up - classified items - secret, confidential and restricted

AD-C800 000 - AD-C899 999 - classified ATI/TIP collection

AD-D000 001 - AD-D094 999 - patents and patent applications

AD-D100 000 and up - Information Analysis Center records

AD-P000 001 - AD-P199 999 - unclassified/unlimited compilation or proceedings, - individual articles within a collection will be cataloged separately and assigned an "AD-P..." number. An accompanying statement in Field 21 will refer to the basic compilation. The combined compilation will receive the usual "AD-A" number; the "AD-P" numbers will be cited in Field 21.

AD-P200 000 - AD-P399 999 - unclassified/limited articles in a compilation

AD-P400 000 - AD-P499 999 - classified and limited articles in a compilation

AD-M000 000 - AD-M199 999 - unlimited and unclassified multimedia items

AD-M200 000 - AD-M399 999 - unclassified limited multimedia items

AD-M400 000 - AD-M499 999 - classified multimedia items

AD-R000 000 and up - DOE classified item citations furnished by the DoD-DOE Joint Coordinating Committee on Technical Information

b. Unannounced Accession Number Ranges (no longer used):

AD-399 000 range, AD-496 000 range, AD-594 000 range and AD-A950 000 - AD-A994 999 - unclassified/unlimited distribution (items older than 10 years)²

AD-A995 000 - and up - Defense Nuclear Agency (DNA) sanitized items from 1950 era atomic tests

AD-B950 000 - AD-B994 999 - unclassified/limited distribution (primarily items older than 10 years)

² Added first 3 ranges per message from Roberta Schoen, DTIC-O, dated 20 Dec 2000.

AD-B995 000 and up - unclassified cataloged Report Documentation Page, Standard Form (SF) 298, (without an item, no longer accepted)

AD-C950 000 - AD-C994 999 - unannounced classified items

AD-D095 000 and up - National Bureau of Standard items

2. No punctuation follows Field 1.

USE: Mandatory.

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FIELD 2 -COSATI OR SUBJECT CATEGORY CODES³
(640 alphanumeric characters)

Definition: COSATI Codes, also referred to as, Subject Category Codes, are numeric representations for a classification scheme identifying the subject(s) of an item. The categories are divided into 25 broad subject fields with 256 groups and sub-groups. Each group and subgroup is entered and searched as a separate entity.

Purpose: COSATI Codes reflect the item's primary subject area (s) and are the basis for subject retrieval. These Codes also identify need-to-know for the distribution of information about DoD-developed and supported technologies.

The Committee on Scientific and Technical Information (COSATI) was established to develop a coordinated but decentralized STI system for scientists, engineers, and other technical professions in U.S. federal agencies. COSATI was the national focal point for coordinating the development of a national network of independently-operating, but cooperating, STI systems. The need for clearer lines of demarcation among emerging technologies and between theory and militarily-sensitive application, along with the need to categorize the new areas of scientific and technical interest, led DTIC to replace the COSATI Subject Category List (DoD-Modified), October 1965, with the Subject Categorization Guide for Defense Science and Technology in 1986.

Chief Source of Information: The Code comes from DTIC's *Subject Categorization Guide for Defense Science and Technology (SCG)*. Scope notes indicate subject area covered by each field, group and sub-group code. Cross-references are suggested for related fields and groups.

Form of Entry: Click the EDMS button labeled COSATI. A drop down menu appears with all codes for fields and groups listed in DTIC's *SCG*. The first broad field/group selected reflects the item's primary subject area. Clicking the EDMS Primary button applies the letter P so that it precedes the field/group code. More than one field/group may be coded with P. Use the EDMS Secondary button to

³ Changed - 14 November 2001 to include EDMS window name.

identify additional secondary fields and groups. The letter S precedes all secondary field/groups.

Rules and Procedures:

1. Each item must have at least one primary field/group assignment. EDMS will not accept the top-level field that appears first on the drop down menu. Top-level fields are identified by __/00 following the field number and name. For example, the first listing, 01/00 (Aviation Technology) is never selected. If a general category applies, select 01/01 (Aerodynamics) or 10/02 (Military Aircraft Operations) or 01/03 (Aircraft) instead. Most reports should NOT carry more than 4 **primary** subject fields/groups/subgroups. The only exception is proceedings of symposia or multiple volumes that extensively cover many different topics where 5 or 6 primary subject fields/groups may be assigned.

2. Fields and groups are used to define subject areas of "need-to know" in the distribution of classified items. Someone cleared to receive classified documents on organic chemistry (07/03) may have no need-to-know for classified documents on seismic detection (17/10). Fields and groups are also used to categorize items for announcement purposes in three other DTIC programs for registered users, the Automatic Document Distribution (ADD), Technical Reports Automated Information List (TRAIL) and the Current Awareness Bibliographies (CAB). Certain document forms, such as Announcement Bulletins, Descriptive Summaries, etc., have standardized first field and group assignments.

3. Posting terms may appear in several fields and groups because they have several possible applications. For example, two aspects of Snow are listed in 04/02 (Meteorology) and in 08/12 (Snow, Ice and Permafrost).

4. The *Subject Categorization Guide for Defense Science and Technology* has two indexes based on the terms listed in the *DTIC Thesaurus*. After scanning the abstract and the item, assigning asterisked (or weighted) controlled terms from MAI, consult these indexes to find the field/group that corresponds to these terms. Asterisked/weighted terms represent the main topics of the item. There should be no more than 4-5 asterisked/weighted terms per item. The exception to the asterisked or weighted rule is proceedings of symposia or for multiple volumes that extensively cover

many different topics; in these cases, 6-7 weighted terms can be assigned.

5. Read the scope notes for suggested fields and groups before making final field/group assignments. As there are some typos and errors in the *Subject Categorization Guide for Defense Science and Technology*, care must be taken in assigning an item to an unfamiliar field/group. For example, Naval mine warfare belongs in 15/6.02, in a scope note, not in 15/6.01 as in the index. Other dubious assignments include Fratricide in 05/05 since its hierarchy indicates it is to be used only in a military context. There are also omissions of descriptors that will be corrected in future editions of this guide, e.g. LORAN should be assigned to 17/07. Similarly Acoustic and Light Homing should be assigned to 17/07, or one of its subdivisions, in parallel with Radar and Radio Homing.

6. One index is arranged alphabetically by subject term. To the left of each term is a field/group code, indicating where the subject matter is covered. If the subject is treated in more than one field/group, the codes appear in ascending numerical order. The code nearest the term carries no greater weight than those following. When the subject is represented in multiple groups under a single field chose the group with the most extensive coverage. Field 7, Chemistry is coded 07/00. Since Chemistry is a top-level term, EDMS will not accept this. Chose one of the six groups in Field 7 (Industrial, Inorganic, etc.) to represent the major subject area.

7. The other index is arranged numerically by field/group code. Subject assignments to more than one field or group are listed under each field/group code. Sometimes scanning the terms contained in a field/group listing may suggest more specific controlled terms that should be added or asterisked in Field 23. While most of the terms listed are authorized controlled terms, some are not (e.g. Acoustic, couplers, Cartography, Guided munitions, Potamology, Quantum mechanics, Teleprocessing systems, etc.). Verify that a listing is valid descriptor before entering it in Field 23.

8. Terms are coded for the most common use of the word or phrase. "Mouth" is assigned to Field 06/04 (Anatomy and Physiology). However, a report on conditions at the mouth of the Potomac River may belong in Field 08/08 (Hydrology,

Limnology and Potamology), which includes Rivers, Deltas and Estuaries, not in 06/04.

USE: Mandatory.

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FIELD 3 - CITATION SECURITY CLASSIFICATION

(1 alphabetic character)

Definition: The Citation Security Classification is set to the highest security classification of any of the data elements in the record.

Purpose: A citation classification determines whether the citation can be made available for retrieval purposes. The security classification gives an indication of the sensitivity of the material presented in the citation. This classification determines security procedures observed regarding handling, machine input, and transport of the item.

Chief Source of Information: The citation classification should be provided on the Report Documentation Page, Standard Form (SF) 298, by the source contributing the item. The citation classification is derived from the Title Classification, Uncontrolled Index Terms Classification, or Abstract Classification.

Form of Entry: This field is computer-generated on all items, but included in the *Guidelines* to show the rules used to create the default. This field uses one single lowercase letter for entry:

u = unclassified
r = restricted (for NATO and foreign items only)
c = confidential
s = secret

Rules and Procedures:

1. The citation classification should not be changed in any way. It is determined from the information provided on the cover, title, or Report Documentation Page, Standard Form (SF) 298.
2. The level of classification will never be lower than the classification given in Field 8 (Title Classification), Field 26 (Uncontrolled Index Terms Classification), or Field 28 (Abstract Classification).
3. If it cannot be determined whether a citation is classified or unclassified, it should always be entered as

classified, using the same classification level as the item. If the item is unclassified, the citation is unclassified.

USE: Mandatory.

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FIELD 4 - MEDIA TYPE

(100 alphanumeric characters)

Definition: Media type is an alpha character code used to describe the physical format of the item. Multimedia items, formerly referred to as nonprint items, include various electronic formats. DTIC currently catalogs the item based on the format of the carrier. For example, a diskette containing an MS Word version of *The Cataloging, Abstracting and Indexing Guidelines* is cataloged as a multimedia item.

Purpose: Field 4 describes the physical format of the item being cataloged. The first window, Media Type, contains a format-specific code representing the chief physical characteristic of the item. If the format of the item is electronic, sub-fields are used. Field 4 is sub-divided into 3 parts: a) Electronic File Characteristics, b) Physical Description, and c) Systems Detail Note. The physical characteristics of the related parts are often described in Field 21, Supplemental Notes, and Field 27, Abstract.

Chief Source of Information: When describing multimedia items, DTIC follows rules established in *The Anglo-American Cataloging Rules (AACR2)*. AACR2 covers items made up of several types of material (area 1.10). Rule 1.10B states if an item has one predominant component, describe it in terms of that component. If available, use the contributor's information provided on DTIC Form 530, Nonprint Form.

Form of Entry: Established codes are used to represent the category of the item in Media Type (4). In the Selection queue this window is labeled Multimedia. Information used in Fields 4a - 4c pertain to the physical category. Standard abbreviations should be used. More than one descriptive element may be used; separate each element with a semi-colon and a space.

Rules and Procedures:

1. Media Type (4). Use the following code values:
 - a - Hardcopy
 - d - DVD
 - j - 1/2" Video (VHS)

k - Magnetic Tape⁴
q - 3 1/2" High Density Diskette
s - CD-ROM
t - Tape Cartridge

2. Electronic File Characteristics (4a). This field is used to record software, file type and size characteristics for a computer file.

Example:

2 files; 1 self extracting zip file; Microsoft Word 6.0;

3. Physical Description (4b). The field describes physical characteristics of the item, the extent of the item and its dimensions. It may also include other physical details of the item and information concerning accompanying material.

Example:

1 computer diskette; 3½ in.;

4. Systems Detail (4c). Contains system information about the item. Allows users to know what type and version of software or hardware is needed to use the item.

Example:

PC compatible; Windows 95;

5. If an entry is made in Field 4, additional information is entered in Field 21, Supplementary Note or Field 27, Abstract.

USE: Mandatory.

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⁴ Change to Code q - Computer Diskette is used in place of the following obsolete codes: l - 5 1/4" Low Density Diskette, m - 3 1/2" Low Density Diskette, n - 3 1/2" Low Density Macintosh Diskette, p - 5 1/4" High Density Diskette, and r - 3 1/2" High Density Macintosh Diskette.

FIELD 5 - CORPORATE AUTHOR
(116 characters)

Definition: The Corporate Author is the name of the institution or corporate body preparing the item or responsible editorially and/or contractually for its content.

Purpose: The purpose of establishing a uniform Corporate Author is to standardize the name of the corporate body and make it retrievable from published indexes and online systems.

Chief Source of Information: The Corporate Author is usually given on the Report Documentation Page, Standard Form (SF) 298, or identified elsewhere on the item. Organizations most likely to be Corporate Authors include government agencies, private companies, academies, colleges, foundations, business corporations, institutes, laboratories, universities and their foreign equivalents. The name of the Corporate Author is usually found on the title page, cover, or Report Documentation Page, Standard Form (SF) 298. If the Corporate Author is listed by more than one item, select the item with the most complete information.

Form of Entry: The Corporate Author entry is automatically generated by the code entered in Field 35, Source Code, which represents the Corporate Author selected for Field 5. The 6-digit Source Code is obtained from the Corporate Source Authority System (CSAS).

Rules and Procedures:

When a Corporate Author has not been established in the CSAS, the DTIC Source Specialist must enter it into the system which generates a Source Code (Field 35) for the Corporate Author. To facilitate the correct identification of the Source Code, it is necessary to become familiar with the general rules for establishing a Corporate Author. Please note: the *Guidelines* contain examples from the former Soviet Union used in DTIC's legacy collections.

1. If a subcontractor or university prepares an item, the prime contractor that holds the government contract is considered the Corporate Source. The subcontractor is cited in Field 21, with the statement, "Prepared in cooperation

with (subcontractor name or a university name and location)."

2. Corporate Author elements are selected according to rules in *Guidelines for Descriptive Cataloging of Reports: a Revision of COSATI Standard for Descriptive Cataloging of Government Scientific and Technical Reports*.

3. A list of terms that are abbreviated within the corporate heading is in Appendix A.

4. Only the largest and smallest organizational elements may be chosen. Selection of Corporate Author elements follows this format: largest element, place name, smallest element - as shown on the item.

Examples:

Georgia Inst of Tech., Atlanta.
School of Electrical Engineering.

Abex Corp., Columbus, OH.
Hydrodynamics Research Center.

This selection of elements may be varied only if:

a. A smaller element includes a proper name.

APPEARS AS:

ENTER AS:

California Institute of Technology
Pasadena. George W. Downs Lab.
of Physics. Laser Research
Group.

California Inst. of Tech
Pasadena George W
Downs Lab of Physics

b. A smaller element is the name of an independent company or a major government bureau or service.

APPEARS AS:

ENTER AS:

Dept. of Health and Human Services,
Public Health Service,
Rockville, MD.

Public Health Service
Rockville MD

NOTE: Parenthetical identification is added when necessary.

APPEARS AS:

ENTER AS:

Dept. of Health and Human Services,
Office of the Assistant Secretary

Office of the Assistant Secretary
for Planning and Evaluation (HHS)

for Planning and Evaluation,
Washington, DC.

Washington DC

- c. There is a report series acronym. A report series (the report number) consists of the performing organization's acronym followed by a number. That acronym takes precedence in determining the Corporate Author. See more about "report series" in rules 22-24.

APPEARS AS:

ENTER AS:

Naval Research Laboratory,
Washington, DC
Lab for Computational Physics,
Rept. Number - NRL-3092.

Naval Research Lab
Washington DC

Naval Research Laboratory,
Washington, DC,
Lab for the Structure of Matter,
Rept. Number - LSM-86-1

Naval Research Lab
Washington DC Lab for the Structure
of Matter

NOTE: If more than one subordinate level is displayed:

- Choose the one that corresponds to the report series.
- If there is no report series choose the sub-element with a proper name.

5. U.S. is omitted before government headings.

APPEARS AS:

ENTER AS:

U.S. Army Engineer District,
Huntington, WV

Army Engineer District
Huntington WV

Exception: A subordinate element that begins with the words "U.S.", "National" or the state's name in a state organization is entered as an independent organization.

APPEARS AS:

ENTER AS:

U.S. Department of Agriculture
Kentucky Agricultural Experiment
Station, Lexington, KY.

Kentucky Agricultural
Experiment Station
Lexington

Hawaii Institute of Geophysics,
University of Hawaii, Honolulu,
Hawaii.

Hawaii Inst of Geophysics
Honolulu

National Magnet Laboratory
Massachusetts Institute of
Technology, Cambridge, MA.

National Magnet Lab
Cambridge MA

6. Joint committees are entered directly under their own names.

Example :

Joint Astrophysics Committee,
London (United Kingdom)

7. International organizations which have no permanent headquarters may be entered with no place name.

APPEARS AS :

International Association for
Quaternary Research.

ENTER AS :

International Association for
Quaternary Research

8. Names of state and local government agencies should start with the name of the state or local government. Words like "state", "city", "county", are included after the state or local government name.

APPEARS AS :

Community Redevelopment Agency of
the City of Los Angeles

ENTER AS :

Los Angeles City Community
Redevelopment Agency CA

9. The city or state name is not repeated if it appears in the main heading.

APPEARS AS :

University of Rochester Rochester,
NY.

ENTER AS :

Rochester Univ NY

10. If the sub-element includes a geographic name, the geographic name is repeated as part of the sub-element.

APPEARS AS :

Burroughs Corporation
Radnor, PA. Radnor Division.

ENTER AS :

Burroughs Corp
Radnor PA Radnor Div

11. State names are not abbreviated within a heading except when used as part of the place name.

APPEARS AS:

ENTER AS:

State University of New York
at Albany.

State Univ of New York
At Albany

University of Rochester,
Rochester, New York.

Rochester Univ NY

12. The foreign country name is enclosed in parentheses, but is not repeated if it appears in any form in the main heading.

APPEARS AS:

ENTER AS:

Australian National University,
Canberra, Australia

Australian National Univ
Canberra

North Staffordshire Polytechnic,
Stafford, England. Dept. of
Mechanical and Computer-Aided
Engineering.

North Staffordshire
Polytechnic Stafford
(United Kingdom) Dept.
of Mechanical and
Computer-Aided Engineering

13. The name "University of (city or state)" is always entered beginning with the city or state name.

APPEARS AS:

ENTER AS:

University of Pennsylvania,
Philadelphia, Pennsylvania.

Pennsylvania Univ
Philadelphia

The University of Alabama in
Huntsville.

Alabama Univ in Huntsville.

University of Wisconsin-Madison,
Madison, Wisconsin.

Wisconsin Univ-Madison

a. "University of... (geographic region)" and "State University of... (geographic region)" are entered without reversal and without abbreviating "University".

APPEARS AS:

ENTER AS:

University of Southern California,
Los Angeles.

University of Southern California
Los Angeles

State University of New York at
Stony Brook, New York.

State Univ of New York at Stony
Brook

b. University departments are always written "Dept. of...
(name)" regardless of the way they appear on the item, but
non-university departments are not changed.

APPEARS AS:

ENTER AS:

Florida University, Gainesville.
Botany Dept.

Florida Univ Gainesville
Dept of Botany

General Electric Co.,
Daytona Beach, Florida.
Apollo Support Dept.

General Electric Co
Daytona Beach FL
Apollo Support Dept

14. If a college or school of a university has a proper
name, it is written as an independent heading.

APPEARS AS:

ENTER AS:

Cambridge University,
Cambridge, England. Trinity College.

Trinity Coll
Cambridge (United Kingdom)

15. Abbreviations are not used as the first word of a
heading, but are spelled out.

APPEARS AS:

ENTER AS:

AF Avionics Laboratory,
Wright-Patterson Air Force Base,
Ohio.

Air Force Avionics Lab
Wright-Patterson AFB OH

St. Anthony Hospital, Columbus,
Ohio.

Saint Anthony Hospital
Columbus OH

U.S. Steel Corporation, Monroeville,
Pennsylvania.

United States Steel Corp
Monroeville PA

a. An exception is made only when the abbreviation is a legally or officially established element of the corporate title.

APPEARS AS:

ENTER AS:

RCA Corp., New York, N.Y. (legal
name)

RCA Corp New York

b. If an organization customarily uses an abbreviated form of its official, legal, or chartered name, the abbreviated form is preferred.

APPEARS AS:

ENTER AS:

Alabama Agriculture and Mechanical
University, Normal, AL.

Alabama A and M Univ
Normal

16. If an organization changes its name, both old and new forms of the name are retained with cross-references between them. A specific item is cataloged under the name that appears on it.

17. When an item is authored jointly by two or more components of the same organization, the heading should be no more specific than the smallest organizational level common to all components.

APPEARS AS:

ENTER AS:

General Electric Co., Cincinnati,
Ohio.

General Electric Co
Cincinnati OH
Flight Propulsion Div

Flight Propulsion Division.

Advanced Engine Technology
Department.

and

General Electric Co., Cincinnati,
Ohio.

Flight Propulsion Division.

Large Jet Engine Department.

18. Personal names: if the first element of a heading begins with initials of a personal name, the entry is started with the surname, followed by the initials enclosed in parentheses.

APPEARS AS:

B.F. Goodrich Co.,
Akron, OH.

ENTER AS:

Goodrich (B F) Co
Akron OH

19. If the first element of a heading begins with a personal forename, and it is the name of a company or other commercial/industrial organization (including Associates, Engineers, etc.), the heading starts with the surname, followed by forename and initials enclosed in parentheses.

APPEARS AS:

Arthur D. Little, Inc.,
Cambridge, MA.

ENTER AS:

Little (Arthur D) Inc
Cambridge MA

20. If the first element of a heading begins with a personal forename, and is the name of a university, laboratory, institute, center, hospital, foundation or other apparently non-commercial organization, the heading is written directly as given.

APPEARS AS:

M.D. Anderson Hospital and Tumor
Institute, Houston, TX.
Harry Diamond Laboratories,
Washington, DC.

ENTER AS:

M.D. Anderson Hospital and
Tumor Inst Houston TX
Harry Diamond Labs
Washington DC

21. If the subordinate element of a heading begins with a personal name, that name is written without rearrangement.

APPEARS AS:

University of Pennsylvania,
Philadelphia. John Harrison
Laboratory of Chemistry.

ENTER AS:

Pennsylvania Univ Philadelphia
John Harrison Lab of Chemistry

22. Report series: many items include a report series that indicates the level of organizational and editorial responsibility. Most of these report series include an acronym which can be readily related to one or more of the organizational elements listed in the item. The Corporate Author must match the element indicated by the report series.

APPEARS AS:

ESG-84-01 (report series)

and

Rockwell International, Canoga Park, California. Environmental and Energy System Division. Energy Systems Group.

ENTER AS:

Rockwell International
Canoga Park CA
Energy **S**ystems **G**roup

APPEARS AS:

AFFTC-PPR-03-14 (report series)

and

Air Force Flight Test Center
Edwards Air Force Base, CA
Air Force Materiel Command
United States Air Force

ENTER AS:

Air **F**orce **F**light **T**est **C**enter

a. If an independent element of a government agency is a laboratory, center, or institute, no further subdivision is used unless the subordinate element is also represented by a report series acronym.

APPEARS AS:

NAPTC-ATD-216 (report series)

and

Naval Air Propulsion Test Center,
Trenton, NJ. Aeronautical
Turbine Dept.

ENTER AS:

Naval Air Propulsion Test
Center Trenton NJ
Aeronautical **T**urbine
Dept

b. If a report series acronym indicates the editorial responsibility of a subordinate element of a government agency, that element is considered to be independent and no further elements are included.

APPEARS AS:

ENTER AS:

ASD/TR-83/5014 (report series)

Aeronautical System Div
Wright-Patterson AFB OH

and

Flight Accessories Laboratories,
Aeronautical System Division,
Air Force Systems Command,
United States Air Force,
Wright-Patterson Air Force Base,
Ohio.

c. If the report series acronym indicates a larger-smaller order of responsibility, that order is followed in the Corporate Author heading, selecting the two elements indicated by the report series and ignoring any other elements.

APPEARS AS:

ENTER AS:

NIOSH/IHS-81-15 (report series)

National Inst of
Occupational Safety and
Health Cincinnati OH
Industrial Hygiene Section

and

Industrial Hygiene Section.

Industry-Wide Studies Branch

Division of Surveillance,
Hazard Evaluations and Field
Studies. National Institute of
Occupational Safety and Health,
Cincinnati, Ohio.

23. If a subordinate element of a company is recognized as an independent corporate entity it is entered as a single-element heading with its place name, omitting the name of the largest element. These independent corporate entities are distinguished by such words and phrases as: Inc., Co., Ltd., Corp., "a division of..." "a subsidiary of..." etc.

APPEARS AS:

ENTER AS:

Babcock and Wilcox, A McDermott
Company, New Orleans, LA.

Babcock and Wilcox
New Orleans LA

24. Major committees of U.S. Executive Branch organizations are written following the names of the organization.

APPEARS AS:

Committee on Earthquake
Engineering Research.
Commission on Engineering
And Technical Systems.
National Research Council.

ENTER AS:

National Research Council
Washington DC
Committee on Earthquake
Engineering Research

25. Named observatories are written as independent headings.

APPEARS AS:

Chicago University, Williams Bay,
MI. Yerkes Observatory.

ENTER AS:

Yerkes Observatory
Williams Bay WI

26. When two companies are participating in a joint venture, the names are combined into a single source. The combination is usually found on the item.

APPEARS AS:

DeLeuw, Cather and Co. and STV,
Inc., Washington, DC.

ENTER AS:

DeLeuw Cather/STV
Washington DC

27. Standard abbreviations for state and territory names taken from the *National ZIP Code Directory* (see Appendix B) are used when they appear as the location element in the corporate heading. The Directory is also used to establish the correct form of the place name in doubtful cases. If a branch post office has a zip code different than the main post office, use the name of the branch post office.

APPEARS AS:

Argonne National Lab.

ENTER AS:

Argonne National Lab IL
(since Argonne is a sub-

Lemont, IL.

station of Lemont but has
its own ZIP code)

28. For military installations, use the post office given
in the *National Zip Code Directory*:

APPEARS AS:

ENTER AS:

Wright-Patterson Air Force Base,
Dayton, Ohio

Wright-Patterson AFB OH

Andrews Air Force Base,
Camp Spring, Maryland.

Andrews AFB Washington DC

29. For Fleet and Army Post Offices, military forms are
used; include the abbreviation "APO AE" or "FPO AP" and the
ZIP Code, but omit the city and state name. Previously,
"APO" or "FPO" and the ZIP Code was used, with the state
name omitted but the city included.

APPEARS AS:

ENTER AS:

Army Alaska APO, Seattle, 98749

Army Alaska
APO AE 98749

Navy Public Works Center,
FPO San Francisco, 96651

Navy Public Works Center
FPO AP 96651

Air Force Contract Management
Center,
APO New York, 09672

Air Force Contract Management Center
APO AE 09672

Army Research Institute Field Unit,
APO New York, NY 09403

Army Research Inst Field
Unit APO AE 09403

Naval Medical Research Unit
No. 3 FPO New York, NY 09527

Naval Medical Research Unit No 3
FPO AP 09527

Naval Support Force Antarctica FPO
San Francisco, CA 96690

Naval Support Force Antarctica
FPO AP 96690

30. The name of a foreign corporate body is entered as the
name of the organization, followed by the name of the city,
followed by the name of the country written in parentheses.
See Appendix C for a list of geographic names to be used.

APPEARS AS:

Royal Aircraft Establishment,
Farnborough, England

ENTER AS:

Royal Aircraft Establishment
Farnborough (United Kingdom)

31. Foreign names are written in the native language, or translated from the native language when the English form of the name is known. Refer to Appendix H and Appendix I for foreign alphabet transliterations and diacritical substitutions.

APPEARS AS:

Societa Richerche Impianti
Nucleari, Milano

K.B. Yuzhnoe Design Office,
Dnepropetrovsk, Ukraine.

ENTER AS:

Societa Richerche Impianti
Nucleari Milan (Italy)

Yuzhnoe (K.B.) Design Office
Dnepropetrovsk (Ukraine)

If the foreign institution chooses to publish all its items in English under an English form of organization name, or if the official publications of an institute include the organization name given in English, the English form is used.

APPEARS AS:

Technical University of Denmark,
Lyngby.

Forsvarets Forskningsinstitutt,
Kjeller, Norway

and
Norwegian Defense Research
Establishment Kjeller.

ENTER AS:

Technical Univ of Denmark
Lyngby

Norwegian Defense Research
Establishment Kjeller

32. Names of foreign cities are not abbreviated. Names of foreign countries are not abbreviated except for the following countries: (See Also Appendix C)

USSR

(1946-1989)

Germany
Germany F.R.
German D.R.
(1949-1990)

Korea D.P.R.

The name of the country is not repeated if included in the heading.

APPEARS AS:

Centro Brasileiro de Pesquisas
Fisicas, Rio de Janeiro,
Brazil

ENTER AS:

Centro Brasileiro de
Pesquisas Fisicas
Rio de Janeiro

33. Foreign place names are written in the form of common usage as indicated by the National Imagery and Mapping Agency's (NIMA) GEOnet Names Server (GNS) from the Geographic Names Database (GNDB).

APPEARS AS:

Universita Degli Studi, Firenze,
Italia.

ENTER AS:

Florence Univ (Italy)

When the name forms an integral part of the heading, retain the native form.

APPEARS AS:

Politecnico di Milano, Italia

ENTER AS:

Politecnico di Milano
(Italy)

34. Foreign and American universities are entered in the same way. If the name of the university begins with the foreign equivalent of "University of...(place name)," the place name is written first and the foreign form of "university" is abbreviated to "Univ."

APPEARS AS:

ENTER AS:

Universidade do Brasil, Rio de

Brazil Univ Rio de Janeiro

Universitaet Wein, Austria.

Vienna Univ (Austria)

a. If the university name refers to a geographical region, write it as it appears.

APPEARS AS:

ENTER AS:

University of the West Indies,

University of the West

Kingston, Jamaica.

Indies

Kingston (Jamaica)

b. In Canadian headings, the name of the province is used in parentheses instead of the country name. A city name is not repeated.

APPEARS AS:

ENTER AS:

Universite de Montreal, Montreal,

Montreal Univ (Quebec)

Quebec.

If a foreign university commonly prefers the "University of...(place name)" to the official version of its name, the place name version should be used.

APPEARS AS:

ENTER AS:

Universitaet Kiel, Germany.

Kiel Univ (Germany)

and

Christian-Albrechts Universitaet

Kiel, Germany.

35. Technische Universitaet is written using the common form of place name and omitting the formal portion of the name.

APPEARS AS:

ENTER AS:

Technische Universitaet Carolo

Technische Univ Brunswick

Wilhelmina zu Braunschweig,

Germany

Germany.

36. All other forms of university names are retained as written.

APPEARS AS:

Pontificia Universidade
Catolica do
Rio de Janeiro, Brazil

ENTER AS:

Pontificia Univ Catolica do
Rio de Janeiro (Brazil)

37. Foreign scientific academies are written as the name of the academy, followed by place and country. Name of country is omitted when included in the name of the academy.

APPEARS AS:

Akademiya Nauk SSSR,
Moscow, USSR

ENTER AS:

Akademiya Nauk SSSR Moscow

Polish Academy of Sciences,
Warsaw, Poland

Polish Academy of Sciences,
Warsaw

38. Institutes, sections, etc., of foreign academies are written following the name of the academy, place and country. If an institute name from a former Russian or satellite country is followed by a personal name, omit the personal name.

APPEARS AS:

Akademiya Nauk SSSR, Leningrad,
USSR. Fiziko-Tekhnicheskii Institut
im. A.F. Ioffe.

ENTER AS:

Akademiya Nauk SSSR
Leningrad Fiziko-
Tekhnicheskii Inst

Institute of Applied Physics,
Kishinev, Moldova. Moldova Academy
of Sciences.

Molodova Academy of Sciences
Kishinev Inst of Applied Physics

39. All other foreign institutes not connected with their national academies are written directly.

APPEARS AS:

ENTER AS:

Institute Hygieny a Epidemiologie,
Prague, Czechoslovakia.

Institut Hygieny a Epidemiologie
Prague (Czechoslovakia)

TESLA Research Institute for
Telecommunications,
Prague, Czech Republic.

TESLA Research Inst. for
Telecommunicatons
Prague (Czech Republic)

P.N. Lebedev Physics Institue,
Moscow, Russia.

Lebedev Physics Inst.
Moscow (Russia)

Biotechnical Research Institute,
Moscow, Russia.

Biotechnical Research Inst.
Moscow (Russia)

40. Cross-references are used to indicate specific relationship between two Corporate Author headings.

41. There are two kinds of cross references.

a. A "see" reference indicates the heading is unacceptable:

Example:

Science Applications International Corp.,
Falls Church, VA. "See" SAIC, Falls Church,
VA.

Defense Threat Reduction Agency,
Albuquerque, NM. "See" Defense Threat
Reduction Agency, Kirtland AFB, NM.

b. A "see also" reference refers to previous or later names of the Corporate Author.

Example: Clinton Labs., Oak Ridge, TN. "See also"
Clinton National Lab., Oak Ridge, TN (later
name)

Clinton National Labs., Oak Ridge, TN. "See
also"
Clinton Labs., Oak Ridge, TN. (former name).

The use of "See" and "See also" references give the viewer/user a historical record of names used.

USE: Mandatory.

Revised: 30 December 2003

Field 6 - Title
(450 characters)

Definition: The Title is the distinguishing name given to a technical report, book, reprint or other item.

Purpose: The purpose of entering a Title is to describe the item, provide meaningful subject information, and permit identification via a title search. The Title is entered at the Selection Stage, but Citation Build is responsible for the accuracy of the title.

Chief Source of Information: A Title is taken from the part of the item that provides the most meaningful and complete Title information, e.g., title page, cover or Report Documentation Page, Standard Form (SF) 298. If a title is not available from these, a source within the item is used to provide the most complete and meaningful title, e.g., caption, running title, etc.

Form of Entry: The Title should be entered exactly as it appears on the item in the EDMS field, "Unclassified Title (6)". The first letter of the first word in the title is uppercase except for prepositions, conjunctions, articles and scientific names for plants and animals, which are all lowercase. Acronyms, names of ships, etc., are typed in all capitals. Punctuation can be added to clarify the title's meaning, but no punctuation is added at the end of the title. It may be necessary to shorten a title when it exceeds the EDMS space limitation.

RULES AND PROCEDURES:

1. When more than one version of a title is given on an item, the cataloger should use the title that appears on the title page or screen.

a. When no formal title is given on the item, or the title does not provide any relevant information about the item's content, it is necessary to provide a more meaningful title entry based on the subject content given in the abstract, summary or introduction. The information that is added is enclosed in parentheses to indicate that part of the title has been supplied.

APPEARS AS:

Handbook

ENTER AS:

Handbook (for Personnel Specialists
on Navy Housing Regulations)

b. The title on a classified item should not be changed in any way and should be entered exactly as it appears on the item.

c. The subject line of a letter report is used as the title when no other title is available.

2. Abbreviations and acronyms that appear in the title of items are used as they appear on the item without change.

3. Exponents, subscripts, and scientific symbols in a title (and abstract) are verbalized for computer entry. See Appendix D, "Verbalizing for Machinability" to determine correct usage.

4. Dates included in the title should be cataloged exactly as they appear on the item.

5. Exception - the titles of Conferences and Proceedings should have the number of the Conference added in parentheses after its name. The words "Held in" and "on" should be added to the title to indicate the place and date of the conference.

APPEARS AS:

Sixth Army Human Factors
Engineering Conference, Chicago,
Illinois, on October 4,5, and 6,
1984

ENTER AS:

Army Human Factors
Engineering Conference(6th) Held in
Chicago, Illinois, on October 4,5,
and 6, 1984

6. If a Descriptive Note appears at the beginning of a title, it is not included as part of the title, but entered in Field 9.

APPEARS AS:

Quarterly progress Report on
Radar Tracking.

ENTER AS:

Field 6: Radar Tracking.
Field 9: Quarterly progress rept.

If a Descriptive Note is part of the title on a classified item, it is used exactly as it appears.

7. Phase numbers are entered in the title. When a phase number appears in a title or as a subtitle, it is always entered as part of that title.

APPEARS AS:

ENTER AS:

Field Data Report on Phase 2
of General Operations.

Field Data Report on
Phase 2 of General Operations.

Field Data Report on
General Operations.
Phase 2.

Field Data Report on
General Operations.
Phase 2.

8. When the title of an item is not meaningful, add the name of the corporate author to augment it. This additional information is placed in parentheses after the title.

APPEARS AS:

ENTER AS:

Title -
Final Report for Contract N00014-84-
K-0643

Final Report for Contract N00014-84-
K-0643 (Stanford University)

Corporate Author -
High Energy Physics Laboratory
W.W. Hansen Laboratories
Stanford University
Stanford, CA

APPEARS AS:

ENTER AS:

Title -
Final Report for W.W. Hansen
Laboratories Contract N00014-84-K-
0643

Final Report for W.W. Hansen
Laboratories Contract N00014-84-K-
0643

9. If a title begins with the phrase "User Manual", "Programming Manual", etc., enter that phrase at the end of the title in parentheses.

APPEARS AS:

ENTER AS:

Users Manual for ADTC
Defense System

ADTC Defense System (Users
Manual)

10. Arabic numbers are used in place of Roman numerals. However, if the main title of the report contains a Roman numeral, that is retained.

APPEARS AS:

PROJECT IX: A Study of
Quality Procedures. Part II.

ENTER AS:

Project IX: A Study of
Quality Procedures. Part 2.

11. If a title includes a volume number, or part number, that information is recorded. This information could also be recorded in Fields 14, 19, 21 and 34. (See also sections on Fields 14, 19, 21 and 34).

Examples:

Field 6: Computer-Aided Design System.
Volume 3. Program Maintenance Manual

Field 14: HAC-TR-98-7-VOL-3

Field 19: TR-85-3066-VOL-3

Field 21: See also Volume 1, AD-A163 556.

Field 34: 3

a. Published changes to basic reports are handled by using the title that appears on the item and adding the change number to the end of the title. The change number is also added to the report number in Field 14. A statement is included in Field 21 to refer to the basic item and any additional changes (See also sections on Fields 14 and 21).

Examples:

Field 6: The War Gaming System. Volume 2.
Weaponry Manual. Change 5.

Field 14: AFWL-TR-77-43-CHANGE-5.

Field 21: Change 5 to Volume 2, AD-A095 176.
See also Change 4 dated Nov 79, AD-A077 088.

b. When an item has a contract title and a project title, always use the contract title.⁵

12. In scientific terminology, Latin names for plants and animals are shown in italic type. In typewritten papers, the names are underscored. Commonly accepted usage by the scientific community is that the genus name is capitalized; the species name is lowercased:

APPEARS AS:

Rose caroliniana

Styrax californica

R. caroloniana

ENTER AS:

Rose caroliniana

Styrax californica

R. caroliniana

Subspecies and variations are also lowercased:

APPEARS AS:

Trogon Collaris Puella

Cypripedium parviflorum
var. pubescens

ENTER AS:

Trogon collaris puella

Cypripedium parviflorum
var. pubescens

13. On items in which the content is written in a foreign language and the title is given in both the foreign language and in English, the title is entered in the foreign language first followed by the English version enclosed by parentheses.

a. If part of the content is in English, the English title is used first followed by the foreign language title enclosed by parentheses.

b. When no English title is given, the foreign title should be translated.

c. If the title is also the name of a foreign periodical, it is used as given.

d. If the title is in more than one foreign language, use the language that predominates in the text.

⁵ Added - 26 June 2001, per clarification by Loretta Brown, Cataloging Supervisor, DTIC OCQ

14. A series of evaluations reports on dam safety, which are similar in content and scope are frequently received. For retrieval purposes, the title on these is cataloged according to an established format. The structure and punctuation of this format conforms to the following:

Examples:

National Dam Safety Program
Crest View Dam Number 4,
Passaic River Basin,
Passaic County, New Jersey,
Phase 1 Inspection Report.

15. A group of items may display a collective title in addition to individual titles. The collective title refers to the subject of the collection. When a group of items displays a collective title, it is entered, followed by a period and the specific title of the item.

APPEARS AS:

MATERNITY CARE FOR THE
POOR
Measuring the Success of the MIC
Project in Rural Florida.

ENTER AS:

MATERNITY CARE FOR THE POOR.
Measuring the Success of the MIC
(Maternity and Infant Care)
Project in Rural Florida.

16. A group of items may display a series title in addition to individual titles. The series title indicates that the individual item is part of a general collection. When a group of items displays a series title, the specific Title of the report is entered, followed by the series Title in parentheses.

APPEARS AS:

Annals of New York
Academy of Sciences Volume 507.
Biological Approaches to the
Controlled Delivery of Drugs.

ENTER AS:

Biological Approaches to the
Controlled Delivery of Drugs
(Annals of the New York
Academy of Sciences. Volume
507).

17. When a trademark appears in the title, it is designated by the use of a TM or [®] symbol, or a "T" (trademark) affixed

to the end of the name. A trademark is a symbol, design, word, letter, etc., used by a manufacturer or dealer to distinguish its products from those of competitors, and usually registered and protected by law. To facilitate computer entry, the words trademark should be used in parentheses following the trademark as indicated in the title.

APPEARS AS:

ENTER AS:

CORE-LOC™ Concrete Armor Units.

CORE-LOC (trademark) Concrete Armor
Units

18. The punctuation following Field 6 is system-generated and no entry is made at the end of the Field.

USE: Mandatory.

Revised: 28 July 2003

FIELD 7 - CLASSIFIED TITLE
(450 characters)

Definition: When an item has a classified title, it should be entered in Field 7. This field is used only for Classified Title entries.

Purpose: Field 7 is used to distinguish a classified title from an unclassified title, which is entered in Field 6.

Chief Source of Information: The title classification will usually be displayed in brackets immediately following the title and will be designated as [s] = secret, [c] = confidential, or [r] = restricted (for NATO and foreign items only).

Form of Entry: A Classified Title is not changed and is entered exactly as it appears on the item.

Rules and Procedures:

1. If it cannot be determined whether a title of a classified item is classified or unclassified, it is always entered as classified, using the same classification level as the item.
2. On NATO items with classified titles that are explicitly marked no entry is made in Field 7. Instead, the phrase "Classified Title Only" is entered in Field 6.
3. For classified NATO documents, unless the title is explicitly marked classified, the catalogers shall assume that the title is unclassified and enter the title in Field 6.
4. The punctuation following Field 7 is system-generated and no entry is made at the end of the field.

USE: Mandatory.

Revised: 28 July 2003

FIELD 8 - TITLE CLASSIFICATION
(1 character)

Definition: This field indicates the classification of the title. For unclassified items, the entry is automatically generated. All classified items must contain an entry in this field.

Purpose: The classification of the title is necessary to indicate whether the title is available for retrieval purposes. This field is computer-generated on unclassified items, but must always be entered for classified items.

Chief Source of Information: In most cases, Title Classification appears in brackets following the title on the cover of the item and the report page. When the classification marking does not appear after the title, the classification of the page can be used to determine if the title is classified.

Form of Entry: For unclassified items, Field 8 is computer-generated and not shown on the EDMS selector screen. For classified items, Title Classification must be selected utilizing a drop-down list box. The possible values are unclassified, confidential, restricted, and secret. The default value is unclassified. If the item has a classified title, Field 8 reflects the classification of this title. A citation with a title in Field 7 can not be unclassified in Field 8.

The TR database stores a one-character entry for this field. Permittable values are:

u = unclassified
r = restricted (for NATO and foreign items only)
c = confidential
s = secret

Rules and Procedures:

1. When the title classification is not given on the item, the selector must determine the correct entry for Field 8 and corresponding entries in Fields 6 and/or 7. This

information is determined using appropriate reference tools and established procedures in accordance with DoD 5200.1-R. If the unclassified title is obtained from a source other than the item itself; a note should be made on the item to indicate where the classification was obtained.

2. When there are both unclassified classified titles, the higher title classification is entered in Field 8.

3. On classified NATO items with an explicitly marked classified title, the entry "Classified Title Only" is made in Field 6, and unclassified is chosen in Field 8.

4. For NATO documents, including NATO Secret, when the items do not indicate the classification of the title, the title classification is unclassified.⁶

5. When foreign reports do not indicate the classification of the title, the Title Classification is the same as the item classification.

6. No punctuation is used at the end of Field 8.

USE: Mandatory.

Revised: 10 January 2003

⁶ Per Memorandum of Agreement between Defense Technical Information Center (DTIC-0) and the Central United States Registry (CUSR) dated 18 January 2000.

FIELD 9 - DESCRIPTIVE NOTE
(120 characters)

Definition: The Descriptive Note is a short phrase that further identifies an item. It may be documentary in nature or may relate to the code assigned in Field 34, Series Number and/or Date.

Purpose: Field 9 supplies additional information about the item. This can be useful in determining if any antecedent items are available (e.g., annual reports, quarterly progress reports, etc.) or whether continuing research could generate future reports.

Chief Source of Information: The cover, title page and Report Documentation Page, Standard Form (SF) 298, may be used to determine an appropriate descriptive note. However, information in this field should not repeat information given in the title.

Form of Entry: The word "report" is always abbreviated to "rept." when used in Field 9. The first word used in Field 9 is capitalized. The rest of the entry (except proper nouns) is lower case. Some examples of descriptive phrases used in Field 9 are listed in Appendix E.

Rules and Procedures:

1. The Descriptive Note may be the sequence in a series (e.g., Quarterly progress rept. no. 17, 1 Jan-31 Mar 1979), or may identify the type of report (e.g., Final, Annual, Summary, Interim, etc.). See examples given in Appendix E.

2. Inclusive dates, indicating the time during which a report was written, should be entered following the Descriptive Note. The year should be entered using four digits:⁷

APPEARS AS:

ENTER AS:

⁷ Added - 7 Feb 2001.

Final report June 1-10 86	Final rept. 1-10 Jun 1986
Report no. 4 (Annual)	Annual rept. no. 4
Report no. 5 (Final)	Final rept. no. 5
Technical report May 86 to Nov 86	Technical rept. May-Nov 1986
May 86 to November 87	Rept. for May 1986-Nov 1987
Technical Report No. 2 June 1, 81 to June 1, 82	Technical rept. no. 2, 1 Jun 1981 -1 Jun 1982
Technical Report No. 2 (no inclusive dates)	Field 9 - Technical rept. no. 2 Field 14 - TR-2
Report 1, June 50	Rept. nos. 1-3, Jun 1950 - Sep 1953
Report 2, July 52	
Report 3, September 13	

For some items portions of the work may have been completed at different times and will display two or more sets of non-consecutive inclusive dates. A comma and a space separate each set of inclusive dates.

Example: Technical rept. May 1978-Dec 1979, Jun-Nov 1981

3. For items displaying a single date in the Descriptive Note different than the item date, use the phrase, "for period ending".

APPEARS AS:

ENTER AS:

Final rept. Dec 1983, but report date is Feb 1984.

Final rept. for period ending Dec 1983

4. Final report should always take precedence over other descriptive notes given on the item.

APPEARS AS:

ENTER AS:

Technical report
Research report
Final report

Final rept.

5. For Small Business Innovation Research (SBIR) efforts, add the term, Small Business Innovation Research (SBIR) to Field 25.

APPEARS AS:

SBIR Phase I - final report

ENTER AS:

Field 9: Final rept.

Field 25: Small Business Innovation Research(SBIR), SBIR Phase 1, SBIR Reports

NOTE: Phase I in SBIR reports refers to the work not the report. The SBIR phase is never entered in Field 9.

6. When Master's thesis or Doctoral thesis are not used in Field 9, it should be entered in Field 21.

APPEARS AS:

Final report

Doctoral thesis

ENTER AS:

Field 9 - Final rept.

Field 21 - Doctoral thesis

7. When more than one descriptive note appears on the item, the one providing more meaningful information should always be used.

APPEARS AS:

Technical report

Doctoral thesis

Technical publication

GAO Testimony

ENTER AS:

Doctoral thesis

Field 9 - Congressional Testimony

Field 21 - Testimony before the ...

Field 25 - GAO Reports, GAO Testimony

8. The representative examples cited in Appendix E do not preclude the use of additional descriptive notes that may provide useful information about the item.

9. The punctuation following Field 9 is system-generated and no entry is made at the end of the Field. If the last word is abbreviated, such as rept. or memo., retain the period, all other punctuation is system-generated.

USE: Conditional; use if available.

Revised: 14 Nov 2001

FIELD 10- PERSONAL AUTHORS
(620 characters)

Definition: Name(s) of person(s) responsible for writing the report, performing the research, or credited with the content of the item.

Purpose: To permit retrieval of the item by author name and to group together the works of an individual.

Chief Source of Information: The cover, title page and Report Documentation Page, Standard Form (SF) 298, will usually indicate the authors; however, they may be found elsewhere in the body of the item. Whenever the word "by" precedes the name, the name is entered as the author.

Form of Entry: The author's full name, including first name and middle initial, are used if found on the item. The first name and one middle initial are entered followed by a space with a forward slash preceding the surname. When only initials are available for the author's name, use a maximum of two initials. A maximum of five authors can be entered with a maximum of 60 characters for the given name and 60 characters for the surname of each author. Each name following the first author is separated by a space and preceded by a semicolon.

APPEARS AS:

Mary B. Smith and J. D. Jones

Johnson

J. Ann Green

ENTER AS:

Mary B. /Smith ;J. D. /Jones

/Johnson

J. A. /Green

Rules and Procedures:

1. The preferential order for determining authors is person(s) preparing the item, compiler, editor, person(s) submitting the report, principal investigator, and coordinator.

2. Include suffixes such as Jr., Sr., II, but omit titles, degrees, honors and ranks. The suffix is entered following the surname and separated by a comma and space. When another author follows suffixes such as Jr., Sr., the period is retained.

APPEARS AS:

ENTER AS:

John Smith, Jr.

John /Smith, Jr

John Smith, Jr.

John /Smith, Jr. ;Mary B. /Jones

John Brown, II

John /Brown, II ;Mary B. /Jones

3. In processing items with multiple authors, such as Foreign Technology Division items, omit author name entry in Field 10. This will also apply to compilations whose author's names are, for whatever reason, not individually listed.

4. When processing congressional testimonies, such as General Accounting Office (GAO) reports, use the name of the person listed after the title following the text, "Statement of..." as the Personal Author.

5. There are special rules for the treatment of foreign language surnames with separately written-prefixes. See examples listed in Appendix F.

6. When the phrase "et al" is used on the Report Documentation Page, Standard Form (SF) 298, examine the item to determine the names of up to five authors.

7. Last names may be cataloged alone if no first name or initial can be located.

8. It is common practice for Chinese, Korean and Vietnamese names to be written with the surname preceding the given name. For cataloging purposes, the name is used in reverse order of the way it appears on the item. The last portion of the Chinese name should be placed as the given name.

APPEARS AS:

Wang Shicun

Zu Zhi

ENTER AS:

Shicun /Wang

Zhi /Zu

Chinese names will frequently have a hyphenated portion that is always be placed as the given name.

APPEARS AS:

Uu Guo-Heng

Chan Hua-Ying

ENTER AS:

Guo-Heng /Uu

Hua-Ying /Chan

NOTE: Make sure that the name is in reverse order on the item before changing it.

9. Certain letters in the Russian alphabet translate into two or more Roman letters. For correct author entry (when full names are not provided) enter the correct format. Possible "initial" entries include Ye., Zh., Kh., Ts., Ch., Sh., Shch., Yu., and Ya.

Sample author entry when full Russian names are not provided:

APPEARS AS:

Yu. V. Aleksandrov

N. la. Moiseyev

ENTER AS:

Yu. V. /Aleksandrov

N. la. /Moiseyev

10. When only initials are available for the author's name enter up to two initials. In searching/retrieval only two initials appear.

APPEARS AS:

A.B.C. Doe

A. B. Doe

A. Doe

ENTER AS:

A. B. /Doe

A. B. /Doe

A. /Doe

When the author's full name is available, the full name entry (full first name, middle initial, full last name) takes precedence over all other formats.

11. Apostrophes in Personal Author names are retained, but accents and other diacritical marks are omitted except as given in Appendix F.

12. The punctuation following Field 10 is system-generated and no entry is made at the end of the field.

USE: Conditional; use if available.

Revised: 11 March 2004

FIELD 11 - REPORT DATE⁸
(12 characters)

Definition: The date the item was published is the date used. If the publication date is not given, the date the work was completed or submitted may be used.

Purpose: The Publication Date indicates the date of the item.

Chief Source of Information: The cover and title page are the primary sources for obtaining the date used in this Field. If no date appears on the title page or cover, one of the following may be used: Report Documentation Page, Standard Form (SF) 298, date work was completed, date submitted, latest bibliographic reference date or copyright date. The copyright date is only used when no other date is given. If a year is embedded in the report number, it may be used as the publication date. When all sources fail, the date that the item was received is recorded.

Form of Entry: The Input Support Branch enters the date in the EDMS field, Report Date (11). The Cataloger/Analyst verifies that it is correct. Corrected dates are entered in the format - day, month, and year without interior punctuation. The month is abbreviated to the first three letters. Four digit years are required. EDMS automatically capitalizes all values in the field.

APPEARS AS:

ENTER AS:

August 30, 1982

30 AUG 1982

August 1982

AUG 1982

1982

1982

Appendix G provides foreign language translations for months.

Rules and Procedures:

1. If more than one date is displayed on the cover and/or title page, use the most current date.

⁸ Changed - 14 November 2001 to match EDMS window.

2. Use the scheduled presentation or delivery date for Congressional testimonies.⁹
3. If a date is written in all numerics, check to determine which numbers represent the month and which the day. This is most prevalent on American military and European items.

USE: Mandatory.

Revised: 28 July 2003

⁹ Added - 14 November 2001.

FIELD 11A - REGRADE DATE
(12 characters)

Definition: The Regrade Date is defined as the next date of reclassification as given (or determined) on a classified item based on DoD 5200.1-R, Chapter IV (1997).

Purpose: The Regrade Date indicates the date on which the classification level of the item will be reviewed or when the item will be declassified.

Chief Source of Information: The Regrade Date should be displayed on the cover, title page or Report Documentation Page, Standard Form (SF) 298.

Form of Entry: Field 11a is entered following Field 11, separated by a comma and a space. The date is entered in the standard format - day, month, year - as Field 11.

APPEARS AS:

ENTER AS:

December 31 1982 (Publication Date) 31 Dec 1982, 31 Dec 1992
December 31 1992 (Regrade Date)

Rules and Procedures:

1. The Regrade Date corresponds with classified Fields 32 and 38-39, explained in the sections on those Fields.
2. Declassification dates and declassification events should be entered without change.
3. If a secret item has both a declassification and downgrade date, enter the downgrade date in Field 11a.
4. If a secret item has both a declassification event and a downgrade date, enter the downgrade date in Field 11a.
5. No entry is made in Field 11a for unclassified reports.

USE: Conditional; use if available.

Revised: 28 July 2003

FIELD 12 - PAGINATION

(4 characters)

Definition: The Pagination consists of the total number of pages with print, including cover, preface, primary distribution lists, etc.

Purpose: The pagination provides the research worker with an indication of the length of the report and corresponds to the number of frames necessary for microfiche reproduction. In addition, NTIS and DTIC use the page count to determine the price of an item.

Chief Source of Information: Pagination is system-generated by EDMS. The number of pages is based on the scanned image of the item.

Rules and Procedures:

1. Oversize pages, diagrams, charts, maps, fold outs, material in attached envelopes, etc., are counted to correspond to the number of frames necessary for microfiche filming. Each 8 1/2 x 11-inch section is counted as a page.
2. When nonprint items are cataloged, the number of physical pieces is entered in Field 12.
3. Pagination on each individual article within a compilation should be added at the end of the statement in Field 21. See Field 21; rule no. 7 for further explanation.

USE: Mandatory.

Revised: 8 August 2003

FIELD 13 - EXCEPTION PRICE CODE
(3 alphanumeric characters)

Definition: The Exception Price Code, or special price code, is the code given to an item that is not based on DTIC's system-generated pagination or media unit cost range.

Purpose: The Exception Price Code allows DTIC to apply individually determined prices to unique items or sets.

Chief Source of Information: The exception price is determined on a case-by-case basis. The Pricing Review Committee meets and agrees on a cost. The cost is based on the Committee's review of the agency's request and other factors such as the cost of production, the anticipated demand for an item and the anticipated return on the investment.

Form of Entry: The following cost codes are used (**Waiting for currency verification, 12 Aug 03 -Tanny**).

S0 - Any Media: No Cost
S1 - Any Media: \$ 5.00
S2 - Any Media: \$15.00
S3 - Any Media: \$20.00
S4 - Any Media: \$25.00
S5 - Any Media: \$30.00
S6 - Any Media: \$49.00
S7 - Any Media: \$ 7.50
S8 - Any Media: \$10.00
S9 - Any Media: \$35.00
S10 - Any Media: \$50.00
CD - Copyrighted, Domestic: \$20.00
CF - Copyrighted, Foreign: \$30.00

Rules and Procedures: If available the exception price is entered at the Selection stage. This code can also be added at the Cataloging and Citation Maintenance stages. The codes in this field are not displayed. The cost is displayed.

USE: Conditional; use if available.

Revised: 8 August 2003

FIELD 14 - REPORT NUMBERS

(2 report numbers, 35 characters each)

Definition: The Report Number is assigned by the performing organization to identify an item. It may consist of an alphanumeric combination, an acronym, a report type, a report year and/or a serial number.

Purpose: Unique Report Numbers are an important reference tool used for computer retrieval and for searching related reports or volumes.

Chief Source of Information: The primary source for Report Number identification is the cover, title page or Report Documentation Page, Standard Form (SF) 298.

Form of Entry: When cataloging the Report Number, the format should follow as closely as possible the way the number appears on the item. All alpha characters are capitalized and, for machine sorting, a hyphen is inserted whenever a space appears. Roman numerals are always changed to Arabic numbers. If the number contains an ampersand, it should be replaced with a slash. When two Report Numbers are entered, a comma and a space separate them. Each Report Number may contain a maximum of 35 characters. Organizations are encouraged to follow the NISO standard, Z39.23, *Standard Technical Report Number (STRN) Format and Creation*.

Rules and Procedures:

1. When multiple numbers are displayed, those belonging to the performing organization should be entered in this field. Additional numbers belonging to the monitoring or contracting organization should be entered in Fields 18 and 19.

2. If there are more than two Report Numbers, include the additional numbers in Field 21, Supplementary Note.

3. Until the Corporate Author has established an identifying acronym, the Report Number is used as it appears on the item. Once the acronym has been established, it should always be added to the Report Number series.

4. The word "report" should be ignored and replaced by a hyphen.

APPEARS AS:

ENTER AS:

BRL Report 1234

BRL-1234

5. Report Number series displaying descriptive notations which cannot be abbreviated may be entered as they appear on the item, including standard abbreviations where possible. Descriptive notations that give the type of report, such as Technical Note, Final Report, and Technical Memorandum, are abbreviated and appear in the Report Number. The system defaults to upper case notations.

APPEARS AS:

ENTER AS:

Flight Sciences Laboratory - 345

FLIGHT SCIENCE LAB-345

Creare Inc, Technical Note - 975

CREARE-TN-975

6. When one report number is assigned to a report issued in multiple volumes or parts, identifying suffixes are added using standard abbreviations. Numbers are always used in the Arabic form and no concluding punctuation is necessary. If there is not enough space for VOL-1, use V1.

APPEARS AS:

ENTER AS:

Volume I

VOL-1

Part 2

PT-2

Book III

BK-3

The following are standard abbreviations that should be added to the end of the Report Number. They are used without change unless space limitations necessitate a more abbreviated form:

Addendum	-ADD
Amendment	-AMEND
Appendix	-APP
Change	-CHANGE (usually not abbreviated except to CHG, to satisfy machine space limitations)
Chapter	-CH
Revised	-REV
Section 1	-SEC-1
Series 1	-SER-1
Summary	-SUMM
Supplement	-SUPPL

7. Many Report Numbers include descriptive words within the number. Standard abbreviations are used to replace these, but should only be used when they are displayed as part of the Report Number given on the item. Some commonly used abbreviations are provided in Appendix J.

8. Published changes to basic items are added at the end of the Title in Field 6 and the end of the Report Number in Field 14. If a Report Number exceeds 35 characters, the word "Change" can be abbreviated to CHG, or the number is added without a prefix when necessary.

Examples:

AFWAL-TR-85-4017-VOL-21-PT-2
 AFWL-TR-82-70-CHANGE-2
 ARL-TR-92-43
 ARL-TR-93-43
 CCTC-CSM-MM-9-82-CHG-2
 CCTC-CSM-MM-9-82-VOL-5-2
 ARL-TR-93-43

9. No punctuation concludes Field 14.

USE: Conditional; use if available.

Revised: 8 August 2003

FIELD 15 - CONTRACT NUMBERS

(2 contracts/grants, 35 characters each)

Definition: Contract and Grant numbers are the alpha/numeric identifiers of the contract, grant or procurement order that designates the financial support of the report.

Purpose: The contract number is assigned by the Corporate Author (identified in Field 5) responsible for preparing the item. It is assigned by the military or other organization responsible for funding of the research.

Chief Source of Information: Only those contracts that are assigned to the Corporate Author should be entered in Field 15. Use only contracts or grants issued by the U.S. Government and military services. Ignore subcontracts or contracts issued by a foreign government. Both contract and grant numbers are entered in the same EDMS window labeled Contract Numbers (15).¹⁰

Form of Entry for Military Services and the Department of Defense: The Contract Number should be written conforming as closely as possible to the way it is cited on the report. Army, Navy, Air Force and Department of Defense Agency contracts currently follow the format prescribed in the DoD Federal Acquisition Regulation (FAR) Supplement as follows:

Position 1 - 6:	Alpha/numeric (FAR Appendix N -Activity Address Numbers)
7 - 8:	2 digits (MM 2 digits FY)
9:	Alpha (type of procurement - usually C, although there are contract numbers containing a numeric in this position) ¹¹

¹⁰ Added - 20 February 2001, to clarify that EDMS has only 1 window labeled 'Contract Numbers' but this is where Grant Numbers are also added.

¹¹ 20 February 2001 - suggested by DTIC-OCS catalogers Karen & Diane.

10-13: Numeric (four position serial number) or alphanumeric

When two contracts or grants are entered, a comma and a space separate them.

The Contract Number should be edited only in the case of obvious typographical errors. Hyphens should be used between each position grouping as shown in the following examples:

DAST60-84-C-W77	DAAA22-84-C-0204	M00027-84-D-0031
N00014-86-K-0043	F33615-86-C-5169	DNA001-85-C-0249
F04611-85-C-0041	DCA100-84-C-0030	DASG60-86-C-0013
DAMD17-98-2-8013	N00173-00-C-2000	F33615-00-1-1661
N00167-83-C-0062	DAAH04-95-1-R138	SPO700-96-D-4000 ¹²

Form of Entry for U.S. Government Agencies:

Examples of contract numbers:

DOT-DTFA01-84-C0005	NAS7-918
EPA-68-03-3203	NSF-SES84-08134
FEMA-CMW-84-C-17374	PHS-NS-19197-03

Rules and Procedures:

1. If a subcontractor or university¹³ prepared an item, the prime contractor to whom the government contract was issued will be considered the corporate author. The subcontractor will be acknowledged in Field 21, using the statement, "Prepared in cooperation with (subcontractor or university and location)."

2. If there are two contracts, the Department of Defense-funded Contract Number will precede the non-DoD Contract Number.

¹² 20 February 2001 - new examples provided by Zena Rogers, Quality Control, DTIC-OCQ.

¹³ Added - 20 February 2001.

Example :

F67052-82-C-0043, FAA/ARDS-647

a. If there are two grants, the DoD grant will precede the non-DoD grant.

Example :

AFOSR-82-1234, PHS-NB-M88

b. If there is a contract and a grant number, the Contract Number will precede the grant number.

Example :

N00173-85-M-9913, DAAL03-86-G-0008

3. Examples of Grant Numbers for Military Organization, DoD and U.S. Government Agencies:

AF-AFOSR-62-347 (prior to 1963)	DA-ARO-D-31-124-73-G17
AF-AFOSR-299076 (1963-77)	N00014-86-G-0009
AFOSR-86-0078	NGL-05-020-272

4. Examples of Procurement Order Numbers for Military Organizations, DoD and U.S. Government Agencies:

ARPA Order-4395

DARPA Order-2656

NASA Order-S-54114

a. A Military Interdepartmental Purchase Request (MIPR):

APPEARS AS:

ENTER AS:

MIPR3736	MIPR-3736
MIPR 278Q103M2RR	MIPR-278Q103M2RR
MIPROGJERREN51 PR	MIPR-OGJERREN51PR

b. If there is a contract and a procurement number, the Contract Number will precede the procurement number.

Example :

DAAH01-00-C-R206, MIPR-N0001900WXCMC5F¹⁴

5. Older Contract Numbers used by the Office of Naval Research (beginning with N00014) for the years 1960-1968 have an additional four-digit suffix at the end of the number. This suffix is entered as shown on the item.

Example :

N00014-67-A-0202-0002

6. Many forms of contracts, grants and procurement orders may be cited on older reports. Some representative examples are:

Contracts

ACDA/ST-37
AF 04(635)-3614

AT(04-1)-GEN-12
DA-11-M-AMC-1749(A)
N600(19)61804
Nonr-875 (00)
NAS7-100
NObsr-93140
NOrd-9938
W-7405-eng-26
F-02-MWP-A-60
OCD-OS-68-97

Grants

AFOSR-76-0756 (beginning 1978)
AF-AFOSR-0756-76 (beginning 1963)
AF-AFOSR-62-34 (prior to 1963)
Nonr(G)-0001
NSF-GK-43758
AF-EOARR-62-69 (prior to 1963)
AF-EOAR-8-66 (1963-67)
EOOAR-68-0010

Procurement Orders

ARPA Order-1524
NASA Order-R-93
PRO-Y-71-865 (Interagency Purchase Request Order)

7. Only two Contract Numbers may be entered in Field 15. Additional contract or grant numbers that belong to the source should be entered in Field 21 as shown.

APPEARS AS :

N00014-82-C1232
N00014-82-CI233

ENTER AS :

Field 15: N00014-82-C-1232, N00014-82-C-1233

¹⁴ 20 February 2001 - suggested by DTIC-OCS catalogers Karen & Diane.

NSF-ENG79-12345

Field 21: Sponsored in part by Grant
NSF-ENG79-12345

8. The continuation of a Contract Number used on an earlier item should be noted in Field 21, e.g., Continuation of Contract N00014-82-C-1234.

USE: Conditional; use if available.

Revised: 8 July 2003

FIELD 16 - PROJECTS AND PROJECT NUMBERS

(2 entries, 35 characters each)

Definition: Research, Development, Test and Evaluation (RDT&E) Project Numbers generated by military organizations are entered in Field 16.

A **Project** encompasses the aggregate of work efforts in a given project area (or sub-area in special cases) within a single program group (and, therefore, a single Program Element). It is a planned under-taking having a finite beginning and end, involving definition, development, production and logistics support.

A **Task** is a smaller segment of a project into which exploratory development efforts may be divided for purposes of local administration. Tasks encompass exploratory development effort directed toward a specific objective. They consist of one or more Work Units and may be assigned to one or more individual laboratories for implementation.

A **Work Unit** is the smallest segment into which research and technology efforts are normally divided for purposes of local administration. Work Units, which may be subdivisions of a Task, are assigned for local technical control and supervision by the organization performing the work.

A **Program Element** is the basic building block for the five-year Defense Program. It is a description of the mission to be undertaken and a collection of the organizational entities identified to perform the mission assignment. Elements may consist of forces, manpower, materials (both real and personal property), services, and associated costs. It is the smallest subdivision of the R&D program considered in the DoD programming system. In exploratory development, a Program Element consists of a number of projects in a technology field and within a single budget activity. See Appendix K for a more detailed explanation of the Program Element Coding System.

The corresponding Task Number(s) is entered in Field 17; Work Unit number(s) and Program Element number(s) are entered in Field 25. Examples of RDT&E Project Data used by the military services are given in Appendix L and Appendix M.

Purpose: Project Numbers are used to provide RDT&E funding information. The numbers can also be used to identify a particular endeavor. Project Numbers are retrievable and provide reference to related information in the DTIC Management Information Systems: Independent Research & Development (IR&D) and Research Summaries (RS), as well as, related items in the Technical Report (TR) database. Research Summaries, formerly named the Technical Effort and Management System (TEAMS) was originally named the Work Unit Information System (WUIS).

Chief Source of Information: The Army, Air Force and the former Defense Nuclear Agency (DNA) have standardized Project Numbers. The entries in Fields 16, 17 and 25 should correspond to the same RDT&E project data that is contained in DTIC Management Information Systems.

Form of Entry: Two Project Numbers may be entered, separated by a comma and a space. No spacing is used in the Project Number and letters are always capitalized. Additional Project Numbers should be entered in Field 25.

Examples:

Army Project
Numbers:

1F665702D127	3S162772A874
1L162705AH94	8MU011058004
2Q162717A790	

Air Force Project
Numbers:

ILIR	2688
3059	4110
2406	2621
2567	2402
2002	

Navy Project
Numbers:

NRO49	ZI175PN
MR04101	M0095
F48524	

DNA Project
Numbers:

G37TMMX	X990AXV
N990MXA	Y99QMXS

Rules and Procedures:

1. Army, Air Force and the former DNA have standardized project numbers. Army uses 12 characters; Air Force uses 4 characters; DNA used 7 characters. Navy project numbers are not standardized. A further explanation of the makeup of the project data is given in Appendix L and Appendix M.

2. Sometimes the Project Number is not given on the item or is incomplete, but other funding information such as Task number, Work Unit or Program Element is available. It is then necessary to obtain the Project Number. If it cannot be found through a computer search, it may be available from Research Summaries.

USE: Conditional; use if available.

Revised: 20 February 2001

FIELD 17 - TASK NUMBERS
(2 entries, 35 characters each)

Definition: Tasks are smaller segments of a Project into which exploratory development efforts may be divided for local administration. Tasks encompass exploratory development efforts directed toward a specific objective, and consist of one or more Work Units assigned to one or more individual laboratories for implementation. The RDT&E Task Number is entered in Field 17 as it appears on the item.

Purpose: Task Numbers aid in designating the sources of funding for completed or on-going RDT&E research.

Chief Source of Information: As stated in Field 16, the combined Project and Task numbers represent standardized formats used by the various military organizations. They are used only for RDT&E funded programs.

Form of Entry: Two Task Numbers may be entered, separated by a comma and a space. No spacing is used in the numbers and letters are capitalized. A Task Number cannot be used without a corresponding Project Number. An entry in Field 17 must always have an entry in Field 16, Project Numbers. However, if there are two Task Numbers in Field 17, only one entry is needed in Field 16, if only one is provided.

APPEARS AS:

LA

AA

ENTER AS:

LA, AA

Rules and Procedures:

1. Various examples of RDT&E data are cited in Field 16 and in Appendix Land Appendix M.
2. The basic rules and procedures given in Field 16 also apply to Field 17.
3. No punctuation follows this field.

USE: Conditional; only use if there is a Project Number in Field 16.

Revised: 20 February 2001

**FIELD 18 - MONITORING AGENCY ACRONYMS AND COST ALLOCATION
INFORMATION SYSTEM (CAIS) CODE**
(3 acronyms, 1 CAIS code)

Definition: The Monitoring Agency Acronym usually appears as part of the Monitor Report Number, a combination of descriptive letters and numbers. The government or military organization responsible for sponsoring or contracting the report may assign a Report Number.

The Cost Allocation Information System (CAIS) Code is a two-character entry starting with an 'X' followed by an alphabetic character or the number 5. This entry is used to identify the Service Level Sponsor (SLS) for the CAIS and is always in the last entry. Only one X entry is used.

Purpose: The monitoring agency is financially responsible for the report and controls its distribution. The acronym is established by the government or military organization, and when used in Field 18, identifies the monitoring or contracting agency responsible for the report. Fields 18 and 19 can be used in combination for retrieval purposes.

The CAIS code is used to identify the primary financially-responsible organization, the highest Service Level Sponsor (SLS), for each item. It is required in Field 18 because the monitoring agency acronym is not mandatory. Field 18 can have multiple entries when it is difficult to determine which agency was primarily responsible for funding the report.

Chief Source of Information: If the monitoring organization has assigned a report number to the item, it will usually be clearly displayed on the cover, title page and/or Report Documentation Page, Standard Form (SF) 298.

The CAIS code is based on the Service Level Sponsor (SLS) of the item. This information is often found on the cover, the title page or the Report Documentation Page, Standard Form (SF) 298, of the item.

Form of Entry: The acronym is entered in Field 18, and the remainder of the number is entered in Field 19. If more

than one monitoring organization assigns a report number, three¹⁵ acronyms can be entered in Field 18, along with three¹⁶ corresponding entries in Field 19. If an entry is made in Field 18, there must be a corresponding entry in Field 19.

The CAIS code is entered last in Field 18. The 2-digit code follows all Monitoring Agency Acronyms, separated by a comma and a space between entries. The code is assigned from DTIC-R's Table of Service Level Sponsor Codes approved for the Defense Business Operations Funds. This Code represents the highest Service Level Sponsor (SLS) for the last acronym in Field 18.

APPEARS AS:

Report Numbers: NUSC-TR-249, NADC-TP-215

ENTER AS:

Field 18: NUSC, NADC, XB
Field 19: TR-249, TP-215, NUSC

Rules and Procedures:

1. In EDMS Field 18 is labeled as Monitor Acronym (18).
2. All new monitor acronyms must be established by DTIC-OCQ before they can be used.
3. Acronyms generated by, and established for, this field are listed in the *Directory of Organizational Technical Report Acronym Codes (DOTRAC)*.
4. If more than three¹⁷ monitoring agency numbers are assigned to a report, the additional numbers may be entered in Field 21.
5. One CAIS code is entered at the end of Field 18. This code represents the Service Level Sponsor (SLS), e.g., Army, Navy, Joint DoD, etc., responsible for funding the report.
6. In the example above XB represents the CAIS code for the Navy. The entry in Field 19, NUSC represents the

¹⁵ 16 August 2000 - changed from four.

¹⁶ 16 August 2000 - changed from four.

¹⁷ 16 August 2000 - changed from four.

specific Navy organization responsible for funding the report.

7. If there is no responsible funding agency, use XD.
8. The Cost Allocation Codes for Service Level Sponsors used in Field 18¹⁸ are:

- XA** USA (US Army)
- XB** USN (US Navy)
- XC** USAF (US Air Force)
- XD** OSD & all DoD not listed
- XF** DoE (Department of Energy)
- XG** NASA (National Aeronautics and Space Administration)
- XH** DoT (Department of Transportation)
(Includes FAA & Coast Guard)
- XJ** All other non-DoD Federal Agencies not listed
- XM** NSA (National Security Agency)
- XX** CIA (Central Intelligence Agency)
- XY** USMC (US Marine Corp)
- X5** Foreign Government and US City/State Government

9. For obsolete Cost Allocation Codes For Service Level Sponsors see Appendix N.

10. No punctuation concludes Field 18.

USE: Mandatory for CAIS. Conditional for monitoring agency, use if available.

Revised: 28 October 2003

¹⁸ 25 June 2001 - Revised by DTIC-OCQ

FIELD 19 - MONITORING AGENCY NUMBER AND ACRONYM FOR CAIS
(3 report numbers (16 characters each) and
1 CAIS code (2 characters))

Definition: Field 19 contains the remainder of the Monitoring Agency number after the Acronym is entered in Field 18. The last Acronym or the Cost Allocation Information System (CAIS) Code in Field 19 represents the agency responsible for funding the report.

Purpose: The Monitoring Agency Number, together with the Acronym, identifies the item and can be used for computer retrieval. Matched with the CAIS code in Field 18, the Acronym identifies the subordinate agency for the CAIS.

Chief Source of Information: The cover, title page and/or the Report Documentation Page, Standard Form (SF) 298, usually identify the Monitoring Agency Number and Acronym if one has been assigned.

Form of Entry: The Monitoring Agency Number may include a combination of descriptive words, letters and numbers. See Appendix J for the standard abbreviations which can be used. The number of entries in Field 19 must match the number of entries in Field 18. A comma and a space separate the two entries.

The acronym required by the CAIS follows the monitoring or contracting agency numbers at the end of Field 19. Separate each acronym with a comma and a space.

APPEARS AS:

Report Numbers: NUSC-TR-249 and
NADC-TP-215

Report Number: AFRL-SR-BL-TR-00-3019

Report Number: RAND-MR-951-OSD

ENTER AS:

Field 18: NUSC, NADC, XB
Field 19: TR-249, TP-215, NUSC

Field 18: AFRL-SR-BL, XC
Field 19: TR-00-3019, AFOSR

Field 18: XD
Field 19: XD

Rules and Procedures:

1. Field 19 is labeled Monitor Number in EDMS.
2. The final Acronym in Field 19 must correspond to the final code in Field 18. Only one monitoring or contracting agency acronym appears at the end of Field 19.
3. In the example above, NUSC represents the specific Navy organization responsible for funding the report. This corresponds to the final entry in Field 18, where XB represents the CAIS code for the Navy.
4. If there is no DTIC-OCQ established acronym for the Service Level Sponsor (SLS), then use the appropriate CAIS code to show the responsible funding agency.
5. Foreign acronyms can be used in Field 19 when X5 is the final code used in Field 18.
6. If there is no responsible funding agency, use XD.
7. No punctuation follows this field.

USE: Mandatory for CAIS. Conditional for monitoring agency, use if available.

Revised: 10 October 2001

FIELD 20 - ITEM SECURITY CLASSIFICATION

(1 character)

Definition: The Security Classification designates that, in the interests of national defense, an item requires a specific degree of protection against unauthorized disclosure. For computer entry, the classification can be secret, confidential, restricted (for NATO and foreign items only), or unclassified. It corresponds to the highest security classification contained in the report.

Purpose: The Security Classification gives an indication of the sensitivity of the material presented in the item. This classification determines the security procedures observed regarding handling, machine input, and transport of the item.

Chief Source of Information: In accordance with DoD 5200.1-R, the Security Classification of an item with a classification other than unclassified must be stamped, printed or written at the top and bottom of the cover and Report Documentation Page, Standard Form (SF) 298. The Classification stamps will be in capital letters that are larger than those used in the text of the item.

Form of Entry: The classification is selected at the Receiving Stage from a drop-down menu with possible values of unclassified, confidential, restricted (for NATO and foreign items only), secret, unclassified-NATO, confidential-NATO, restricted-NATO, and secret-NATO. The Selection Stage is responsible for ensuring that the right classification was chosen at Receiving. This Field is only shown at Citation Build for classified items. All classified items are also reviewed at Citation QA to ensure the correct classification was chosen.

The TR database stores a one-character entry for this field. The possible values are:

u= unclassified
r= restricted (for NATO and foreign items only)
c= confidential

s= secret

Rules and Procedures:

1. Restricted classification currently appears only on foreign reports.
2. No punctuation follows this field.

USE: Mandatory.

Revised: 26 March 2004

FIELD 21 - SUPPLEMENTARY NOTE
(600 characters)

Definition: The Supplementary Note is used to enter statements of information about the item that are not cited in any other Field.

Purpose: The supplementary material in Field 21 is intended to aid researchers by providing additional information about the item or related items. Accession Numbers should be provided when available for items referenced in this Field.

Chief Source of Information: Most of the documentary material used in Field 21 will appear on the item itself. In addition, references to volumes, parts, appendices or revisions can be obtained through a computer search of Fields 6 (Title), 14 (Report Number) and 19 (Monitoring Agency Number and Acronym for CAIS). Statements that are meaningful and relevant can be included in this Field.

Form of Entry: Information entered in Field 21 must be unclassified. Standard abbreviations should be used and punctuation should follow normal usage. Always convert Roman numerals to Arabic. Uniform types of entries have been established to ensure consistency for various types of information used in this Field. These examples do not preclude the use of additional types of entries when necessary. Additional information that frequently appears in Field 21 is included in Appendix O.

Rules and Procedures:

1. When reports of a set are received singly as issued, refer to previously received items. All items in a series may be listed if needed for bibliographic control.

a. Examples of statements that can be used to refer to antecedent reports:

Supplement to....

Addendum....

Revision of rept. dated 5 May 1983, AD-A092 091.

Supersedes Rept. no. NADC-5, dated 14 Feb 2001,
AD-C065 282.

Includes revision dated.... (later date).

Appendix to Rept. no. 4987, dated 4 Jun 1982, AD-
A091 091.

2. Translations

a. If Code 1 is entered in Field 22 at the Selection Stage the source is not repeated in Field 21. If Code 3 is entered in Field 22 at the Selection Stage the source is entered in Field 21.

Examples of Field 21 statements used for translations:

Trans. of Vestnik Akademil Nauk SSSR (USSR), n3
p23-32, 43-53, 1987 by Mary Smith.

Technical trans. of report from Krasnaya Zvezda
Publishing House (USSR), Jan 1985. (When some
portion of the citation is unknown).

Trans. of unidentified German language
periodical, p2-5, 42-44.

Unedited rough draft trans. of ...

Machine trans. of ...

Trans. by Leo Kanner Associates, Los Altos, CA
94022.

Trans. of Patent (USSR), 271 61 9.

Trans. of mono. Opoznavanie Rechevykh Signalov,
Moscow, 1971 147p. (If place and date are
unknown, n. p., n. d.)

Edited trans. of Patent (USSR) 203 668 p1-2, 26
Oct 1966, by L. Thompson.

Trans. from 3 Russian language newspapers.

- b. "Prepared in cooperation with" is not used for translations.
 - c. If an item is both a reprint and a translation enter "Trans. of (name of language) language journal article" in Field 21.
 - d. See also Appendix O for additional examples.
3. When the text of an item is not in English and there are summaries in English and a foreign language, the entry in Field 21 should include the information that a summary in English is also available. Refer to Appendix H and Appendix I for foreign alphabet transliterations and diacritical substitutions.

Example:

Summary in English and French

4. Additional types of entries that can be used for items with foreign language information:

Text in French.

Summary in French.

Text in English and French.

Text in French; summary in English.

Text in French; summaries in English and German.

5. For items that contain color-coded maps, charts, graphs, etc., and the color is necessary for correct interpretation, the following statement is generated when the "B/W repro" button on the EDMS window is clicked:

Example:

Original contains color images. All DTIC reproductions will be in black and white.¹⁹

6. Additional contracts and/or grant numbers not entered in Field 15 can be added to Field 21.

Examples:

Sponsored in part by Contract N0000014-82-C-0010 and Grant F04611-79-G-0064.

Continuation of Contract N00014-82-C-0010.

7. The individual articles included in a collection or conference proceedings are cataloged separately and assigned an AD-P number. A corresponding entry is made in Field 21 to link the articles together and to reference the AD-A, AD-B or AD-C number of the overall proceedings. The page numbers of the individual article should be added following the AD- number.²⁰

Example:

This article is from "The Repair of Aircraft Structures Involving Composite Materials," AD-A178691, p8-1-8-19.

The basic compilation should include a statement in Field 21 referring to the AD-P numbers included in the compilation.

Example:

For sales information of individual items see AD-P005 161 - AD-P005 176.

8. When a change to a basic item is received, the change number is added to the end of the title in Field 6. A statement is entered in Field 21 to reference the basic item and any additional changes.

Example:

Field 6 entry: The Principles of Basic War Games.
Volume 1. Contract Maneuvers. Change 2.

¹⁹ 14 February 2001 - changed per Grant Clark, DTIC-OCQ, EDMS Program Manager.

²⁰ 7 October 2000 - change in Compilations.

Field 21 entry: Change 2 to Volume 1. See also Change 1 dated Nov 1980, AD-A093 893.

9. Bibliographic entries for items prepared by the General Accounting Office should include a statement in Field 21 stating for whom the item was prepared. No personal names are used.

Examples:

"Report to the Congress"

"Report to the Secretary of Transportation"

"Testimony before the ... "

10. For items prepared by more than one corporate source, the joint corporate source is acknowledged as co-author in Field 21. Government or military organizations that contribute to the item are not mentioned in Field 21.

The following statements are used for any additional corporate source(s) that shared responsibility for preparation of the item, either contractually or otherwise.

Examples:

Prepared in collaboration with University of Maryland, College Park, MD.

Prepared in cooperation with Rand Corp., Santa Monica, CA., Contract No. F44620-82-C-0045

11. There are an increasing number of items processed where a military organization has collaborated with a non-Government organization or several non-Government organizations. In these cases no contract number is cited and the military organization appears as the performing organization on the Report Documentation Page, Standard Form (SF) 298. A supplementary note will appear in field 21:

Example:

Prepared in collaboration with ... (each listed non-Government organization).

The military organization will be the corporate source.
This general rule does not apply to reprints.

12. This field is always followed by a system-generated period.

USE: Conditional; use if available.

Revised: 17 September 2003

FIELD 22 - DISTRIBUTION/AVAILABILITY STATEMENTS AND CODES
(400 characters)

Definition: The statement entered in Field 22 defines the conditions of availability for distribution, release or disclosure and limitations on availability. It includes the name and address to contact for distribution authorization. The statement provides for the broadest distribution possible within the controlling office and security limitations.

Purpose: The distribution statement provides specific reasons that must exist to support each case when the availability of an item is restricted. Distribution statements are required for items provided to DTIC.

Chief Source of Information: The primary source for Distribution and/or Availability Statements for each document is found on the item's cover or non-print label. The secondary source is the Report Documentation Page, Standard Form (SF) 298. The statements on all items are applied in compliance with DoD Directive 5230.24. The statements on NATO and NATO Research Technical Organization (RTO) items are applied in compliance with USSAN Instruction 1-69, *US Implementation of NATO Security Procedures* and its parent NATO document C-M (55) 15 (FINAL). AGARD-R-779, *Guide to Document Security Markings and Distribution Statements used by NATO and NATO Member Nations*, (ADB242571) is also used. The markings indicate whether the item is approved for public release or its distribution is limited.²¹ Controlling DoD offices are responsible for determining the distribution of each item. The statements correspond to codes entered in Field 33. If the statement imposes a degree of control on the distribution, the reasons must be other than for protection of classified information.

Form of Entry: Established formats are used for the narrative statements entered in this field. Reasons have been established for item limitation and the appropriate

²¹ 30 August 2001 - added NATO regulations per Bonnie Klein, Program Manager for Foreign Acquisitions, DTIC-OCA.

reason must be used with the distribution statement. All dates are entered using four numeric character years.²² All acronyms and abbreviations used in the name of the controlling office are spelled out. Codes used in the Attn: line and the full address are used when provided.²³ If the information exceeds the maximum number of characters for this field, it may be necessary to shorten the statement to allow for space limitations. Standard Abbreviations for Terms Used in the Corporate Author Headings, see Appendix A and Standard U.S. Geographic Abbreviations, see Appendix B, may be used.²⁴ In 2001 DTIC shortened the number of distribution codes by combining distribution codes 12-15 with codes 2-5. Citations for items entered into DTIC's databases prior to 2001 will retain the old codes. Default search strategies in Private STINET will provide citations containing current and historical codes. The list at the end of this chapter shows the current codes. Historical or obsolete codes are listed for reference in Appendix P.

Rules and Procedures:

1. All unclassified DoD technical items must be assigned distribution statement A, B, C, D, E, F or X. Classified DoD technical items shall be assigned distribution statement B, C, D, E, or F. Distribution statements remain in effect until changed or removed by the controlling DoD office.
2. When a distribution statement is not dated and there is no Point of Contact on the item or the Report Documentation Page, Standard Form (SF) 298, use the date of the document in the distribution statement. If there is no reason listed in the distribution statement, check the item for markings such as export control. This item may be proprietary or may be a foreign document. If a reason can't be determined, use "Administrative/Operational" as the default. The "Specific Authority" reason is used when there is a regulation, letter, or other guidance that provides distribution instructions. The reason or the letter included with the document is cited as the

²² 26 Jan 2000 - added to comply with ISO 8601, *Representation of Dates and Times*.

²³ Clarification, per e-mail Roberta Schoen, DTIC-O dated 7 May 2003.

²⁴ Clarification, per e-mail Roberta Schoen, DTIC-O dated 7 May 2003.

Authority.²⁵ The following sections define distribution statements for items in the DTIC collection.

3. DISTRIBUTION STATEMENT A - Approved for public release; distribution is unlimited.

- a. This statement is never used on classified items.
- b. Distribution Code 1 is used in Field 33, and no availability statement is used in Field 22 (except for reprints or items also stamped with numeric code 21, 23, 24 or 25).
- c. Items with this statement may be made available or sold to the general public and foreign nationals.

4. DISTRIBUTION STATEMENT B - Distribution authorized to U.S. Govt. agencies only; (reason); (date). Other requests for this item shall be referred to (controlling DoD office). Refer to the chart, "Text Displayed in Field 22 For Distribution/Availability Statements and Codes" at the end of this chapter for proper format.

- a. This statement may be used on either unclassified or classified items.
- b. Distribution Code 3 is used in Field 33, and the corresponding distribution statement is entered in Field 22.
- c. The distribution statement entered in Field 22 identifies the controlling agency for limited items to request the item. The organization name and address are used as given on the item.
- d. This statement is used to ensure distribution limitation, in addition to need-to-know requirements imposed by DoD 5200.1-R.
- e. Items given release statement B must state the reason and date the limitation was applied. Currently used reasons for imposing this statement include:

(1) Foreign Government Info. - Protection of foreign information

²⁵ Per Dave Appler, DTIC-A and Roberta Schoen, DTIC O e-mail from Roberta Jul 27, 2001.

- (2) Proprietary Info. - Protection of proprietary information not owned by the U.S. Government
- (3) Critical Technology - Protection and control of critical technology, including technical data with potential military application
- (4) Test and Evaluation - Protection of the results of test and evaluation of commercial production or military hardware
- (5) Contractor Performance Evaluation - Protection of information involving contractor performance evaluation
- (6) Premature Dissemination - Protection of information involving systems or hardware from premature dissemination
- (7) Administrative/Operational Use - Protection of information restricted to official use or for administrative or operational purposes
- (8) Software Documentation - Protection of software documentation - release only in accordance with the provisions of DoD Instruction 7930.2
- (9) Specific Authority - Protection of information required by a specific authority

5. **DISTRIBUTION STATEMENT C** - Distribution authorized to U.S. Govt. agencies and their contractors; (reason); (date). Other requests for this document shall be referred to (controlling DoD office). Refer to the chart, "Text Displayed in Field 22 For Distribution/Availability Statements and Codes" at the end of this chapter for proper format.

- a. This statement may appear on unclassified or classified items.
- b. Distribution Code 2 is used in Field 33 and the corresponding limitation statement is entered in Field 22.
- c. DoD 5200.1-R uses this statement to ensure distribution limitation, in addition to need-to-know requirements.

d. Items given release statement C must state the reason and date the limitation was applied. The reasons for imposing this statement are:

(1) Foreign Government Info. - Protection of foreign information

(2) Critical Technology - Protection and control of critical technology, including technical data with potential military application

(3) Software Documentation - Protection of software documentation - release only in accordance with the provisions of DoD Instruction 7930.2

(4) Administrative/Operational Use - Protection of information restricted to official use or for administrative or operational purposes

(5) Specific Authority - Protection of information required by a specific authority

6. DISTRIBUTION STATEMENT D - Distribution authorized to the DoD and U.S. DoD contractors only; (reason); (date). Other requests for this document shall be referred to (controlling DoD office). Refer to the chart, "Text Displayed in Field 22 For Distribution/Availability Statements and Codes" at the end of this chapter for proper format.

a. This statement may appear on unclassified or classified items.

b. Distribution Code 16 is used in Field 33, and the corresponding limitation statement is entered in Field 22.

c. DoD 5200.1-R uses this statement to ensure distribution limitation, in addition to need-to-know requirements.

d. Reasons for imposing distribution statement D are:

(1) Foreign Government Info. - Protection of foreign information

(2) Administrative/Operational Use - Protection of information restricted to official use or for administrative or operational purposes

(3) Software Documentation - Protection of software documentation - release only in accordance with the provisions of DoD Instruction 7930.2

(4) Critical Technology - Protection and control of critical technology, including technical data with potential military application

(5) Specific Authority - Protection of information required by a specific authority

7. DISTRIBUTION STATEMENT E - Distribution authorized to DoD Components only; (reason); (date). Other requests for this document shall be referred to (controlling DoD office). Refer to the chart, "Text Displayed in Field 22 For Distribution/Availability Statements and Codes" at the end of this chapter for proper format.

a. This statement may appear on unclassified and classified items.

b. Distribution Code 4 is used in Field 33, and the corresponding limitation statement is entered in Field 22.

c. Reasons for imposing distribution statement E are:

(1) Direct Military Support - To protect export-controlled technical data of such military significance that release for purposes other than direct support of DoD-approved activities may jeopardize a U.S. military advantage

(2) Foreign Info. - Protection of foreign information

(3) Proprietary Info. - Protection of proprietary information not owned by the U.S. Government

(4) Premature Dissemination - Protection of information involving systems or hardware from premature dissemination

(5) Test and Evaluation - Protection of the results of test and evaluation of commercial production or military hardware

(6) Software Documentation - Protection of software documentation - release only in accordance with the provisions of DoD Instruction 7930.2

(7) Contractor Performance Evaluation - Protection of information involving contractor performance evaluation

(8) Critical Technology - Protection and control of critical technology, including technical data with potential military application

(9) Administrative/Operational Use - Protection of information restricted to official use or for administrative or operational purposes

(10) Specific Authority - Protection of information required by a specific authority

8. DISTRIBUTION STATEMENT F - Further dissemination only as directed by (controlling DoD office) or higher DoD authority; (date). Refer to the chart, "Text Displayed in Field 22 For Distribution/Availability Statements and Codes" at the end of this chapter for proper format.

a. This statement is normally used only on classified items, but may be used on unclassified items when specific authority exists.

b. Distribution Code 5 is used in Field 33, and the corresponding limitation statement is entered in Field 22.

c. Distribution statement F is used when the DoD originator determines that information is subject to special dissemination limitation specified by paragraph 4-505, DoD 5200.1-R.

9. DISTRIBUTION STATEMENT X - Distribution authorized to U.S. Govt. agencies and private individuals or enterprises eligible to obtain export-controlled technical data in accordance with DoDD 5230.25; (date). Controlling DoD office is (controlling DoD office). Refer to the chart, "Text Displayed in Field 22 For Distribution/Availability Statements and Codes" at the end of this chapter for proper format.

a. This statement is used on unclassified items when distribution statements B, C, D, E or F does not apply, but the item does contain technical data as explained in DoDD 5230.25. These items may only be released to U.S. Government organizations and contractors who have a current

DD Form 2345 (Military Critical Technical Data Agreement)
on file with the Defense Logistics Services Center.

b. Distribution Code 7 is used in Field 33, and the corresponding limitation statement is entered in Field 22.

c. This statement cannot be used on classified items; however, it may be assigned to technical items that were formerly classified.

d. Distribution Code 7 must always be accompanied by the use of secondary distribution Code 57 in Field 33. The statement "This document contains export-controlled technical data" should be omitted from Field 22 because the explanation for Code 7 is sufficient.

e. Distribution statement X is applied in accordance with DoD Directive 5230.24 "Distribution Statements on Technical Documents."

10. CRITICAL NUCLEAR WEAPONS DESIGN INFORMATION (CNWDI) -
This marking is only used for classified items. Items marked with this limitation require an additional statement in Field 22 following any other distribution statement.

a. The CNWDI statement in Field 22 is mandatory when displayed on the item.

b. Distribution Statement 51 or 52 can be used in Field 33, and the corresponding limitation statement is entered in Field 22.

c. CNWDI items must always have a "Y" entered in Field 31. Upon validation, the Y code only allows users with CNWDI permissions to see the citation or item.

Examples:

Field 20	RD (restricted data) FRD (formerly Restricted Data)
Field 22	Requesters must be authorized to receive CNWDI material as specified by DoD Directive 5210.2 (12 Jan 78)

Field 31	Y ²⁶
Field 32	E (Reclassification Code)
Field 33	51 (restricted data) or 52 (formerly restricted data)

11. **Reprints** - See Special Instructions Section, page TBD.

12. **Intelligence Markings** - Special markings displayed on intelligence reports are used to identify certain restrictions and limitations. Designated acronyms have been assigned to each of these markings and are entered in Field 22 (Distribution/Availability Statements) and Field 25 (Identifiers and/or Open-Ended Terms). DTIC currently processes technical reports according to Executive Order 12958, Classified National Security Information, 20 April 1995²⁷.

Currently intelligence items entered into DTIC's TR database carry one of four markings. "Authorized for Release to (name of country (ies)/intentional organization) (REL TO)", "Caution-Proprietary Information Involved (PROPIN)", "Dissemination And Extraction Of Information Controlled (ORCON)" and "Not Releasable to Foreign Nationals (NOFORN)". Other security markings are discussed in Field 31 of the *Guidelines*. Modified and obsolete Special Indicator Codes are listed in Appendix Q.

Prior to 1995 some intelligence items were marked with the statement "Warning Notice - Sensitive Intelligence Sources and Methods Involved (WNINTEL)". Although WNINTEL is no longer used as an official marking, items entered in DTIC's Technical Report database still contain the term WNINTEL. Currently WNINTEL is removed from the document and citation by DTIC-OCQ, Citation Maintenance, during a security review.

a. The term "WNINTEL" appears in Field 25 for only those items entered in the TR database prior to 1995 and have not received a security review.

²⁶ 20 September 2003 - per meeting with DIA/DAC-2B and Larry Downing, DTIC-OCQ Security Manager, WNINTEL is no longer used as intelligence marking.

²⁷ Superseded Executive Order 12065 (DoD 5200.1-R), 1978.

b. Special codes were entered in Field 31 to limit display of WNINTEL items to DoD organizations. It is important that requesters be informed about special intelligence handling requirements upon receipt of these items. DTIC no longer uses Special Codes v, x and z. These codes are mentioned here for historical reference and discussed in Appendix Q. Beginning in 2003 only the special code 'a', 'w' or 'y' is used in Field 31:

a - "Not limited abstracts" displayed on "limited" items

w - Items with intelligence markings where the citation is limited to only DoD organizations²⁸

y - CNWDI items

c. Field 33 was coded either Code 4 (DoD only) or Code 5 (Distribution Controlled), depending on the markings displayed on the item.

13. Markings on non-US items

a. NATO Documents - When a NATO secret document is identified in Field 20, EDMS automatically inserts distribution Code 53 as a secondary distribution code in Field 33. NATO secret documents are available in paper copy only. The phrase "NATO, Available in paper copy only" will be automatically entered in Field 22. For NATO unclassified documents Code 2 is entered in Field 33 where the distribution statement is completed with "Other requests shall be referred to Central U.S. Registry, The Pentagon, Washington, DC 20310-3072."

b. NATO Research Technical Organization (RTO) - NATO RTO documents may be marked with "no restrictions on distribution" (Public Release) or with statements that limit distribution to: Government Agencies of NATO (U.S. Government only); Government Agencies of NATO and their bona fide contractors (US Government and their contractors); Defense Agencies of NATO nations (DoD only) and Defense Agencies of NATO nations and their bona fide contractors (DoD and DoD contractors only). In all instances, distribution statements need to include a reason (Foreign Acquisition) and date (if none given, use the date

²⁸ Prior to 2003 Code W was used for items with intelligence markings that were not CNWDI.

of item), but will refer requests to NATO Research and Technology Organization, BP25, Rue Ancelle, F-92201 Neuilly-Sur-Seine Cedex, France.²⁹

APPEARS AS:

This document should be announced and supplied only to NATO, Government Agencies of NATO nations and their bona fide contractors, and to other recipients approved by the RTO National Coordinators. Other requesters should apply to the Research and Technology Agency (RTA) of NATO at the above address.

ENTER AS:

Code 2 for Distribution C: Distribution authorized to U.S. Government Agencies and their contractors only. Other requests for this document should be referred to the NATO Research and Technology Organization, BP25, Rue Ancelle, F-92201 Neuilly-Sur-Seine Cedex, France.

c. CEDOCAR Documents - When a CEDOCAR document is identified, distribution code 4 is inserted as a secondary distribution in Field 33. Per the 12 Jul 95, DTIC/CEDOCAR MOA Article 5, *Use of Exchanged Documents*: "Each of the contracting parties has the right to record, use, reproduce and distribute as part of its defense documentation within their respective Government's defense organization any documents received within the exchange." On 25 Oct 2000, Director, DTIC-S, clarified that under the terms of the MOA, DTIC should apply the following Distribution Statement to CEDOCAR documents:

Code 4 for Distribution E: DoD components Only; Foreign Government Information; 12 July 1995. Other requests for this document shall be referred to Embassy of France, Office of Defense Cooperation Attache, 4101 Reservoir Road, NW, Washington D.C. 20007.³⁰

d. The Technical Cooperation Program (TTCP) Documents - Policies, Organization and Procedures in Non-Atomic Military Research and Development (POPNAMRAD) is the regulation that gives guidance for TTCP Markings for Publications and Distribution of Publications. The reference is available at: <http://www.dtic.mil/ttcp/>. TTCP documents carry one of three authorized statements. The most frequently used distribution statement is:

²⁹ Per e-mail, Roberta Schoen, DTIC-O, dated 12 June 2000.

³⁰ Added 27 October 2000.

APPEARS AS:

This document contains information, which is provided in confidence to the governments of the United States, the United Kingdom, Canada, Australia, and New Zealand under the Technical Cooperation Program (TTCP) between the governments. The information contained herein may be used and disseminated for national defence purposes only within the recipient governments and their national defence contractors. The recipient government shall ensure that any other use or disclosure of the information is made only with the prior written consent of each of the above governments.

ENTER AS:

Code 2 for Distribution C: Authorized to U.S. Government agencies and their contractors; Foreign Government Information; TTCP MOU Amendment One, October 16, 2000. Other requests for this document shall be referred to OUSD (AT&L) DDR&E-IP&P, Pentagon, Washington, DC 20301-3040.³¹

The second most frequently applied TTCP statement is:

APPEARS AS:

This document contains information, which is provided in confidence to the Governments of Australia, Canada, New Zealand, the United Kingdom and the United States under The Technical Cooperation Program (TTCP) among these Governments. This document may contain proprietary or commercially valuable information and recipient Governments will not treat it in any manner likely to prejudice the rights of any owner thereof, including the right to obtain patent or like statutory protection thereof. The information may be used and disseminated only for evaluation with respect to Defense Purposes within the recipient Governments who will ensure that any other use or disclosure is made only with the prior written consent of each of the above Governments.

ENTER AS:

Code 4 for Distribution E: Authorized to DoD only; Foreign Government Information; TTCP MOU Amendment One, October 16, 2000. Other requests for this document shall be referred to OUSD (AT&L) DDR&E-IP&P, Pentagon, Washington, DC 20301-3040.³²

³¹ Per e-mail, Bonnie Klein, Program Manager for Foreign Acquisitions, DTIC-OCA, dated 9 February 2001.

³² Per e-mail, Bonnie Klein, Program Manager for Foreign Acquisitions, DTIC-OCA, dated 9 February 2001.

The third TTCP distribution statement is an exception and not used as frequently. The TTCP Deputies may, by unanimous consent, authorize the release of an UNCLASSIFIED TTCP Document or Technical Report for open publication and unlimited distribution.

APPEARS AS:

This document contains information authorized under the auspices of The Technical Cooperation Program (TTCP) for unlimited release and distribution.

ENTER AS:

Code 1 for Distribution A: Approved for public release; distribution is unlimited.³³

e. Foreign Embassies Addresses - Use the following links to get addresses when completing distribution statements for foreign documents in which the embassy is noted as the sponsoring/controlling office:

U.S. State Department, Bureau of Consular Affairs
<http://www.travel.state.gov/> links to:
Foreign Embassies of Washington D.C.
<http://www.embassy.org/embassies/>

Embassies of Other Nations to the United States --
Embassy Listings for Embassies inside the United States
<http://www.embassyworld.com/embassy/inside usa.htm>

Yahoo! Foreign Embassies and Consulates in the United States
<http://dir.yahoo.com/Government/U S Government/Embassies and Consulates/Foreign Embassies and Consulates in the United States/>

14. Field 22 is terminated with a period.

USE: Mandatory.

Revised: 13 August 2003

³³ Per e-mail, Bonnie Klein, Program Manager for Foreign Acquisitions, DTIC-OCA, dated 9 February 2001.

**Text Displayed in FIELD 22 for
DISTRIBUTION/AVAILABILITY STATEMENTS AND CODES³⁴**

Numeric Code	Distribution / Availability Statements	Meaning
<u>Field 33 entry</u>	<u>Field 22 text entry for corresponding code</u>	<u>Definitions for codes entered in Field 33</u>
1	Approved for public release; distribution is unlimited.	These items are unclassified and have been approved for public release and sale. They may be from DoD or non-DoD sources.
2	Distribution authorized to U.S. Govt. agencies and their contractors; (reason____; date____). Other requests shall be referred to (____).	These items are released to U.S. Government agencies and their domestic contractors. Non-U.S. Govt. agencies and their domestic contractors must have prior approval of the DoD controlling office.
3	Distribution authorized to non-U.S. Govt. agencies only; reason____; date____). Other requests shall be referred to (____).	These items are released to non-U.S. Government agencies. Non-U.S. Govt. agencies must have prior approval of DoD controlling office.
4	Distribution authorized to DoD only; (reason____; date____). Other requests shall be referred to (____).	These items are released to DoD only. Non-DoD agencies must have prior approval of DoD controlling office.
5	Distribution: Further dissemination only as directed by (controlling DoD office and date) or	Normally, used only on classified items, but may be used on unclassified items when specific

³⁴ The codes and statements used in the *1994 Cataloging Guidelines* are available in Appendix N of this edition.

Numeric Code	Distribution / Availability Statements	Meaning
<u>Field 33 entry</u>	<u>Field 22 text entry for corresponding code</u>	<u>Definitions for codes entered in Field 33</u>
	higher DoD authority.	authority exists.
		May be used on classified items if DoD originator determines that information is subject to special dissemination limitations of DoD 5200.1-R, 4-505.
7	Distribution authorized to U.S. Govt. Agencies and private individuals or enterprises eligible to obtain export-controlled technical data in accordance with DoD 5230.25 (date). Controlling DoD office is _____.	Used on unclassified items that are only released to U.S. Government organizations and contractors who have a current DD Form 2345, Military Critical Technical Data Agreement, on file with the Defense Logistics Services Center. Code 7 cannot be used without the addition of secondary distribution Code 57 in Field 33. Code 57 is used on items dated <u>after 6 May 1985</u> . ³⁵
9	(Enter the controlling DoD organization and address).	Code 9 is used on classified documents that are dated 18 Mar 1987 or earlier when there is no distribution statement. Field 22 should indicate the controlling DoD organization. Classified documents dated after 18 Mar 1987 cannot use Code 9. ³⁶

³⁵ Current per Larry Downing, DTIC-OCQ Security Manager, per DoDD 5230.25, 6 November 1984.

³⁶ 29 August 2001 - Code 9 is used in backfill conversions.

Numeric Code	Distribution / Availability Statements	Meaning
<u>Field 33 entry</u>	<u>Field 22 text entry for corresponding code</u>	<u>Definitions for codes entered in Field 33</u>
16	Distribution authorized to DoD and DoD contractors only; (reasons____); (date if given). Other requests shall be referred to (____).	Transmittals of these items outside the Department of Defense and its contractors must have prior approval of controlling office.
20	Availability: Pub. In _____ (Complete the journal citation in Field 22). Available only to DTIC users. No copies furnished by NTIS.	Reprint published in copyrighted journal or proceedings. This information is the result of U.S. Government work and not available for copyright protection.
		Reprint published in copyrighted journal or proceedings. This information is funded by contract and may be reproduced by or for the U.S. Government, pursuant to the copyright license under the <i>Defense Federal Acquisition Regulation Supplement (DFARS)</i> , Subpart 227.4 and Part 211 and Part 252, 26 April 2002.
21	Availability: Pub. In _____ (Complete the journal citation in Field 22). No copies furnished by DTIC.	Used for journal articles. Available only from publisher. No copies furnished.
21	Availability: (Publisher's name, City, State, Zip Code.) No	Used for monographs. Available from originator.

Numeric Code	Distribution / Availability Statements	Meaning
<u>Field 33 entry</u>	<u>Field 22 text entry for corresponding code</u>	<u>Definitions for codes entered in Field 33</u>
	copies furnished by DTIC.	
21	Availability: This Government-owned invention available for U.S. licensing and, possibly, for foreign licensing. Copy of patent available from Commissioner of Patents, Washington, DC 20231.	This statement is used on patents.
23	Availability: Document partially illegible.	Portions of the item contain illegible or non-reproducible printing. The item is best quality available from copy furnished to DTIC.
25	Not available in hardcopy.	The item is not available from DTIC in hardcopy.
26	Not available in microfiche.	This item is not available in microfiche.
51	Restricted Data.	Restricted Data. The item is excluded from automatic downgrading and declassification.
52	Formerly Restricted Data.	Formerly Restricted Data. The item is excluded from automatic downgrading and declassification.
53	NATO	NATO documents excluded from automatic downgrading and declassification. For u, c, and r NATO). NATO Available in paper copy

Numeric Code	Distribution / Availability Statements	Meaning
<u>Field 33 entry</u>	<u>Field 22 text entry for corresponding code</u>	<u>Definitions for codes entered in Field 33</u>
57	This document contains export-controlled technical data.	only (for Secret NATO). This statement is to be used on items subject to export-control laws and <u>dated after 6 May 85</u> . All items with Distribution Statement X should be coded 57 in Field 33 but the statement should not be added to Field 22 because the explanation for Code 7 is sufficient.

Revised: 18 March 2004

FIELD 23 - DESCRIPTORS

(1200 characters)

Definition: Descriptors are terms that describe a concept or class of items. These Authorized Controlled Terms (ACTs) are found in the *DTIC Thesaurus*.

Purpose: Controlled vocabulary terms, also called Posting Terms, standardize subject indexing terminology for both indexing and retrieval purposes. Assigned subject terms allow retrieval pertinent to search requests.

Chief Source of Information: Before indexing or modifying Machine Aided Indexing (MAI) selected terms, the Analyst reads the Abstract and as much of the rest of the item as is needed to understand it. After the abstract has been scanned into the citation, the Analyst activates the MAI option which selects ACTs from the Abstract and Title.

Form of Entry: The Analyst reviews the MAI terms, deleting inaccurate terms, adding terms that apply but were not picked up by MAI, modifying terms where appropriate, and weighting the most critical terms. At least one ACT must be weighted by adding an asterisk (*) in front of the term. The term is entered in initial caps; the second word in a phrase is entered in lower case. A comma and a space separate terms.

Rules and Procedures:

1. Only Controlled Terms may be entered in Field 23. Controlled terms should be selected to best describe the content and substance of the item based not only on the Title and Abstract, but also on analysis of the entire item, and possibly, on associated items in a series.
2. Machine-Aided Indexing (MAI) assists subject Analysts, presupposing a human will organize the terms provided for input that are of value. Due to the lexical structure of what it reads, MAI commits errors and sometimes omits relevant terms. It is the Analyst's responsibility to make up for its deficiencies.
3. Index to the level of specificity or generality as revealed in the item and also to the nature of the item.

Less complex items will have fewer terms than detailed items or compilations covering many subject areas.

4. MAI may assign general terms where a human would assign more specific terms. Index specific terms where they are applicable, e.g. Attack helicopters instead of Aircraft, Turboshaft engines instead of Engines, Side looking sonar instead of Sonar, Antiradiation missiles instead of Guided missiles, Diabetes rather than Diseases, etc. DTIC users, knowing we have certain ACTs, expect to find the concepts indexed directly. If "Radar receivers" is a term, do not settle for "Radar" or "Radar equipment" and "Receivers". This method of indexing, called "unit-terming" or "word matching", should be avoided if possible. Unit-terming is only used when the standardized vocabulary is insufficient to cover a concept. If a concept is worth unit-terming, it may also be worth open-ending as a phrase. Open-ended terms are terms used to index subjects for which there are no posting terms or identifiers available.

5. Weight the main topic(s) of the report with asterisk(s), with one to three asterisked terms usually being sufficient. Proceedings of symposia, exhaustive surveys of a subject, major handbooks, etc. may warrant up to six asterisked Controlled Terms, as well as several asterisked Uncontrolled Terms. Many ADD/CAB search profiles are based in part on a search of weighted terms. At least one asterisked Controlled Term must be entered in Field 23.

6. Normally do not weight:

a. Very general or nebulous concepts

- such as Angles, Foreign technology, Performance (Engineering), Physics, Reliability, Test methods, Theory, etc.

b. Formats

- such as Abstracts, Subroutines, tables (Data), translations, etc.
- "Patent applications" and "Patents" are exceptions when assigned to DoD-funded patent applications and patents
- Adjectival terms such as Air to air;
- Circular, Global, Underwater, etc.

c. Country names

- except when the item comprehensively covers many of the aspects of that country, e.g. Area Handbooks;
- a report on Russian metal matrix composites would be weighted for the composite term but not for Russia.

7. If an item is on reliability engineering applied across many fields, general principles of testing, how to write abstracts, etc., the above general terms may be weighted.

8. Usually avoid "pyramiding", i.e. indexing with both very general and more specific terms within a subject hierarchy. Consult the *DTIC THESAURUS* to find pertinent specific terms in the hierarchy. If an item is entirely on sonar transducers, it clutters up the input and retrieval when broader terms such as "Sonar" or "Sonar equipment" are used as well as "Sonar transducers".

9. However, pyramiding may be necessary when dealing with the proceedings of a symposium, collection of reprints, etc. In these circumstances, weight the overall major concepts of the symposium, reprints, etc., and index the topics of important items with either more general and/or more specific terms in that hierarchy. Example: weight "Hurricanes" and/or "Typhoons" and also "Storms", a broader term to both of these, if there is significant material comparing their paths to those of winter/snow storms and blizzards.

10. Delete invalid/non-pertinent MAI-assigned terms. MAI is especially susceptible to errors due to:

- a. Figures of speech, euphemisms, inflated prose, etc.,
 - erosion of confidence, in light of this evidence, the thrust of this study, leading edge of technology, the heart of this proposal, concrete results, high value object, Vietnam conflict.
 - Some words are so incorrectly or overused that they become meaningless, destroying their usefulness in retrieval when they are truly valid. These include employment (i.e. use), environment (i.e. conditions/circumstances), geometry (i.e. shape/configuration), global (i.e. overall), interface, integrated, utilization (i.e. use), viable (i.e. possible), etc.

b. Jargon, buzz words, gobbledygook

- reusing old words in new contexts, coining new words for old or new ideas, or generating overlapping or synonymous terms for the same concept
 - the computer field gives old words new meanings such as benchmark, boot, library, menu, mouse, etc.
 - managers are concerned with corporate "image", management "climate", etc.
- c. Acronyms and abbreviations
- DNA stands for both Defense Nuclear Agency and deoxyribonucleic acid;
 - RV may be research vessels as well as reentry vehicles;
 - arm/ARM may be a verb, as in to "arm" a weapon, anatomical, figurative, an "arm" of the sea, or acronym for AntiRadiation Missile or Ammunition reconfiguration Model/Module, etc.
- d. Code names and nicknames
- Wild Weasel for EMC sets used on F-4's;
 - PROTEUS acoustic processors, as Proteus is also the name of a submarine tender, the AS-19, and the ACT is in the Enterobacteriaceae hierarchy;
 - Huey Cobra helicopters, Tornado aircraft, etc.
- e. NATO code names
- Hormone or Hip for the Soviet Ka-25 and Mi-8 helicopter, Backfire and Bear for Soviet Tu-26 and Tu-95 bombers;
 - Ash and Atoll for Soviet air to air missiles, etc.
- f. Proper names
- Henry Clay and L. Mendel Rivers submarine, Ohio class of Trident submarines which includes Michigan, Florida, etc.;
 - Oliver Hazard Perry frigate; Harry Diamond Labs.;
 - James J. Jordan and William Winter as authors rather than the country or the season;
 - General Dynamics, etc.
- g. Geographic names
- Crane, IN, White Oak, MD;
 - Copper River, AK (also BC)
- h. Word order

- "Carrier aircraft" may be carrier-based aircraft or the aircraft carrying the equipment being tested but not aircraft carriers;
 - level ground is not synonymous with ground level, nor is management training synonymous with training management
- i. Typos
- radios, ratios and rations are often mistyped and the error automatically generates "Radio equipment", "Ratios", or "Rations" depending on the typo;
 - other common confusions are rain/rail, waves/wages/wakes, airglow/airflow, etc.)
- j. Negatives
- MAI assigns ACTs when it recognizes a phrase although the ACTs may not be pertinent to the item
 - "...does not require interpolation;"
 - "...alternatives to the power spectral method;"
 - "no surface detection techniques are involved;"
 - "...other than the native soils;" etc.
- k. Reference to topics not in the item in hand
- "An assessment of the acoustic conditions will be the subject of a later report" generates a non-pertinent Acoustics.
- l. Homographs—Spelling ambiguity
- "winds" in the meteorological sense vs. as part of the verb "to wind";
 - "wound" as in "Wounds and injuries" vs. the past participle of the verb "to wind"—"Tape wound construction", etc.
- m. Ambiguities/Idiosyncrasies/Inconsistencies of the English language
- Most words in English have more than one definition, with meaning dependent on the context and part of speech. Adding an "s" at the end of a word may change a singular noun to plural or change a plural verb to singular (e.g. "contracts" as a noun may refer to legal documents but as a verb may refer to the process of contraction.)
 - The *DTIC THESAURUS* has ACTs "Underwater light" for the physical phenomenon and "Underwater lights" for the

hardware, "Casting" for the process and "Castings" for the results of the process, etc.

- A word may also be synonymous with one ACT in some contexts but synonymous with others in other contexts (e.g. "Fire" may be equivalent to "Fires" as in combustion, to "Gunfire", to "Firing (Ceramics)", to "Personnel management"—"fire"/discharge an employee or motivate him, etc.).

11. MAI assignments are based on the most probable valid term available and are context-sensitive only to the extent the text allows. False drops should be deleted and pertinent terms added. MAI may assign the term more than once. Marking one occurrence with the delete symbol will delete all occurrences of that term.

12. Try to cover open-ended terms in Field 25 with applicable Controlled Terms in Field 23. If the item warrants assigning the identifier "A-10 aircraft" in Field 25, the ACT "Attack bombers" should be entered in Field 23.

13. For CNWDI documents, Field 23 must contain only the single term "CNWDI".

14. Some of the errors generated by MAI can be prevented from recurring by providing feedback to the DTIC-OCQ MAI vocabulary group who re-code words or phrases to reduce or eliminate the chance of error.

Revised: 8 August 2003

FIELD 24 - DESCRIPTOR CLASSIFICATION

(1 alphabetical character)

Definition: This Field indicates the classification level of the Descriptors or Controlled Vocabulary terms assigned to an item.

Purpose: Classification of Descriptors is necessary to indicate whether the record can be made available for retrieval purposes.

Chief Source of Information: The Descriptor Classification is derived from the classification level of the terms in the DTIC Thesaurus, which is unclassified.

Form of Entry: This Field is computer-generated on all items, but included in the *Guidelines* to show the rules used to create the default. This Field uses the single lowercase letter u to represent unclassified.

Rules and Procedures:

1. This Field is system-generated to default to unclassified.
2. No punctuation is used at the end of Field 24.

USE: Mandatory.

Revised: 28 February 2003

FIELD 25 - IDENTIFIERS AND/OR OPEN-ENDED TERMS
(1200 characters)

Definition: Identifiers or Open-Ended Terms are words or phrases used to identify important ideas and concepts in an item. These terms are also referred to as uncontrolled index terms.

Purpose: Identifiers provide subject access to technical items. Additional RDT&E and intelligence marking terms are added to Field 25 for identification purposes and retrieval. Types of uncontrolled subject terms entered in Field 25 include, but are not limited to:

- Commonly used alpha or alphanumeric designators of specific equipment or equipment types, such as aircraft, ships, missiles, guns, ammunition, etc.
- Code names of projects, operations, exercises, computer programs, NATO code names for foreign aircraft, missiles, etc.
- Pertinent acronyms and abbreviations spelled out in their expanded form.
- New concepts, materials, methods, phenomena, etc.

Terms from this last type may be suggested as candidate terms for inclusion at a future update of the *DTIC Thesaurus*.

For items classified S (Secret), C (Confidential), or R (Restricted) (for NATO and foreign items only), subject terms that are also rated other than U (Unclassified) and normally added in Field 23, Descriptors, are entered in Field 25 for security purposes. In those instances, the entry in Field 26, Identifier Classification, must match the highest level of classification given any term.

Chief Source of Information: The Report Documentation Page, Standard Form (SF) 298, lists author-supplied subject terms. Additional terms are found in the Abstract or Executive Summary of an item. Program Element (P.E.) numbers are used when they appear on items. If the P.E. number is not displayed on the item but a Project Number has been given, the P.E. number is obtained by searching the Technical Report File using the Project Number.

Form of Entry: For purposes of retrievability, RDT&E data elements (i.e., Program Element, Project, Task and Work

Unit numbers) are entered without the use of special symbols (dashes, slashes, etc.) For all other terms, special symbols are used as provided by the item or reference source, with the exception of commas which are replaced by hyphens. Never use commas within a term in Field 25. For example, enter, " Command control communications and intelligence", without commas; or 1, 2-Nitronaphthol as, "1-2-Nitronaphthol". Acronyms are entered in uppercase followed by the phrases for which they stand in parentheses. Roman numerals are replaced by Arabic numerals except when used in chemical names. Ordinal numbers use the abbreviation ND or RD, not D (i.e., 52ND, not 52D and 83RD, not 83D). Individual terms should not exceed 120 characters, including punctuation and spaces, and words are not abbreviated. A comma and a space separate each entry. Refer to Appendix K for the five components that make up a project element number. See also Appendixes L and M, as well as Field 16.

Rules and Procedures:

1. Project-related data is entered using the following prefixes:

Work Unit Number	WU003
Additional Project Number(s)	PN2133
Additional Task Number(s)	TNSR0330301

2. Special markings displayed on intelligence reports are used to identify certain restrictions and limitations. Designated acronyms have been assigned to these markings and are automatically generated by EDMS for Field 25. When the following statements are displayed, the corresponding acronym is used. The list below contains the current codes. Historical codes are listed for reference in Appendix P.

<u>Statement</u>	<u>Acronym</u>
AUTHORIZED FOR RELEASE TO (name of country(ies)/ international organization)	REL TO (used only on classified items)

CAUTION-PROPRIETARY INFORMATION INVOLVED	PROPIN (used only on classified items)
NOT RELEASABLE TO FOREIGN NATIONALS	NOFORN (used only on classified items)
DISSEMINATION AND EXTRACTION OF INFORMATION CONTROLLED	ORCON (used only on classified items)
SUBJECT TO EXPORT-CONTROL LAWS	EXPORT CONTROL (used on classified and unclassified items)

a. Items with intelligence markings where the citation is limited to only DoD organizations are coded "w" in Field 31.³⁷

b. Unannounced AD- numbers are no longer used. Items cataloged pre-1994 were assigned unannounced AD- numbers to items displaying any special markings, with the exception of the export-control statement. Export-control items were not assigned an unannounced AD- number unless they also displayed one of the other security markings.

2. Specific types of aircraft, ships, computer programs, etc., are entered by the following guidelines:

a. Aircraft are entered using the designations, for non-U.S. aircraft, or the popular name, for U.S. aircraft, found in the latest edition of *Jane's All the World's Aircraft*. If there is no popular name for U.S. Aircraft, use the designation. Add the qualifier Aircraft or Drone, depending on type, following the name.

Examples:

A-6 AIRCRAFT
HOODLUM AIRCRAFT
MIRAGE P-2 AIRCRAFT

³⁷ Prior to 2003 Code V was used for WNINTEL items that were also CNWDI.

b. Electronic equipment components contain the complete alphanumeric designation followed by a type qualifier, except systems, which do not need the qualifier. To indicate a class of equipment, use the class designation, followed by TYPE EQUIPMENT.

Examples:

AS-1688/SPS48 ANTENNAS
BA-360/U BATTERIES
AN/PRC TYPE EQUIPMENT

c. Celestial bodies are entered by name, followed by a qualifier designating the type of body.

Examples:

TRITON MOON
POLARIS STAR
3C 273 QUASAR

d. Computer programs are entered by name, followed by the designation COMPUTER PROGRAM. If the name of a program includes an acronym, treat the acronym as a word without spelling out the full meaning.

Examples:

ACCOUNT COMPUTER PROGRAM, not ACCOUNT PROGRAM
VETRAF COMPUTER PROGRAM, not VETRAF (VEHICULAR TRAFFIC)

e. Engines and motors are entered by military designation if available, popular name if there is no military designation or manufacturer's designation if there is no popular name.

Examples:

LR-79-NA-9 ENGINES
SIROCCO ENGINES

Solid propellant rocket motors are entered by size followed by the qualifier ENGINES

Example:

160-IN. ENGINES

f. Missiles used as launch vehicles for satellites or spacecraft, are entered by missile name or designation followed by the qualifier LAUNCH VEHICLES

Example:

ATLAS G LAUNCH VEHICLES

g. Military unit and organization names are used without the designators Headquarters or U.S. Those with more than one component have each component listed separately.

Examples:

6TH BATTALION
14TH ARTILLERY, not 6TH BATTALION, 14TH ARTILLERY
11TH ARMORED CAVALRY REGIMENT, not HEADQUARTERS,
11TH ARMORED CAVALRY REGIMENT
ARMY COMMAND CAM RANH BAY, not U.S. COMMAND CAM
RANH BAY

h. Missiles and rockets are entered using the designations found in the latest edition of the appropriate Jane's annual for U.S. items, or the popular or code name found in the appropriate Jane's volume for other countries, followed by the qualifier MISSILES or ROCKETS.

Examples:

SIDEWINDER MISSILES
THUNDERBIRD MISSILES
AS-30 MISSILES

Former Soviet bloc items are entered using the Russian Alphanumeric Code followed by the NATO code name found in earlier Jane's annuals, followed by the qualifier MISSILES or ROCKETS.

Examples:

SS-1 SCUD MISSILES
SA-N-4 GECKO MISSILES

i. Ordnance items are entered by the complete alphanumeric designation or name if there is no designation, followed by the appropriate qualifier.

Examples:

M54E3 CARTRIDGES and M54 CARTRIDGES
XM-90E1 GUNS and M-90 GUNS
T87A13 VEHICLES and T-87 VEHICLES

U.S. Air Force "Unit" items are use the following prefix abbreviations and a hyphen before the designation or name and qualifier:

ADU- ADAPTERS

Example: ADU-253/B ADAPTERS (for all types of adapters)

BDU- BOMBS (for bombs, bomblets, munitions, training bombs)

Example: BDU-12/B BOMBS

BLU- BOMBS (for bombs, bomblets, mines, etc.)

Example: BLU-22/B45 BOMBS

CBU- DISPENSERS (for bomb dispensers, cluster bombs, munitions, etc.)

Example: CBU-1A/A DISPENSERS

CNU- CONTAINERS (for all containers)

Example: CNU-77/E CONTAINERS

FMU- FUZES (for all fuzes)

Example: FMU-7A/B FUZES

LAU- FLARE LAUNCHERS, MISSILE LAUNCHERS, ROCKET LAUNCHERS, etc.

Example: LAU-62/A FLARE LAUNCHERS

MAU- FEEDERS, FINS, PYLONS, RACKS, SHAFT FLEXES, etc.

Example: MAU-12B/A RACKS

MHU- ASSEMBLIES, CRADLES, RACKS, TRADLERS, TRUCKS, etc.

Example: MHU-79 ASSEMBLIES

MLU- CARTRIDGES, FLARES, MARKERS, MINES

Example: MLU-32/B99 FLARES

SUU- DISPENSERS (for aerosol generators, bomb dispensers, ejectors, flare dispensers, etc.) or GUN PODS (for guns, gun mounts, gun pods, etc.)

Examples: SUU-14/A DISPENSERS, SUU-11A/A GUN PODS

TDU- TARGETS (all types of targets)

Example: TDU-22A/B TARGETS

j. Personal names are written: last name, first name, middle name(s) or initial(s) without punctuation. Do not include personal titles unless necessary to distinguish one person from another of the same name.

Examples:

KENNEDY JOHN FITZGERALD
MAO TSE TUNG

If two or more surnames are part of a term, remove any hyphens

Example:

GINZBURG LANDAU THEORY,
not GINZBURG-LANDAU THEORY

Structures or objects labeled with proper names are written as the name appears, except for removing any commas.

Examples:

ALVIN B. JONES VESSEL
PETER BENT BRIGHAM HOSPITAL

k. For Programs, Projects, Operations, Exercises, etc., if necessary reverse the usual order of the name by entering the specific art first followed by the qualifier.

Examples:

QUICK FIX PROJECT, not PROJECT QUICK FIX
2641 PROGRAM, not PROGRAM 2641

Do not use the qualifier PROGRAM or PROJECT as substitute for more applicable ones.

Example:

OMEGA NAVIGATION SYSTEM, not OMEGA
PROJECT

l. For QRC Electronic Countermeasures Equipment use the complete alphanumeric designation without a qualifier.

Examples:

QRC-297 (T)
QRC-317A

m. Satellites are entered by name followed by the designator SATELLITE if listing a specific name or SATELLITES if it is a series of two or more satellites.

Examples:

TRAVELER 7 SATELLITE
TRAVELER SATELLITES

n. Individual U.S. Naval vessels are entered by using the alphanumeric designation found in Jane's Fighting Ships, followed by the qualifier VESSEL. Punctuation marks other than hyphes preceding numbers within the name are not used and the prefix "T" is not included for vessels in MSTs service.

Examples:

SSBN-604 VESSEL, not SSB (N)-604
WAGE-282 VESSEL, not W-AGB-282
AGM-2 VESSEL, not TAGM-2

Individual ships, boats, submersibles, research vessels, etc. not part of the U.S. Navy are entered by the name, or designator if there is no name, followed by the qualifier VESSEL unless the name includes the equivalent of a designator describing the type of vessel. If there is more than one vessel with the same name, include an identifier to differentiate them.

Examples:

INVINCIBLE VESSEL
PACIFIC STAR VESSEL
ATLANTIQUE VESSEL (FRANCE)
ATLANTIQUE VESSEL (CANADA)
ORION CARGO SHIP
ORION DESTROYER

Classes or vessels are entered with the name followed by the qualifier VESSELS unless the class is named for an individual vessel, then the qualifier CLASS VESSELS follows it.

Examples:

SEACHARGER VESSELS
PR-3 VESSELS
AGOR CLASS VESSELS
CV-59 VESSELS

o. Enter the appropriate qualifier (i.e., HURRICANE, TYPHOON, etc.) preceding the specific name of designation of the storm.

Example:

HURRICANE BETSY

p. U.S. Air Force Weapon Systems are entered by designation or name if available. If not, enter the number and modification letter(s), if any, followed by the qualifier PROGRAM. The qualifier WEAPON SYSTEM is not used.

Examples:

410L PROGRAM
YF-12A AIRCRAFT, not 334A PROGRAM

q. Individual nuclear and non-nuclear test explosions are entered by the specific name or term, followed by the qualifier SHOT. Series of test explosions are entered by the specific name or term, followed by the qualifier OPERATION. When both are available enter the individual name and qualifier, followed the series name and qualifier in parentheses.

Examples:

TELSA SHOT
SANDSTONE OPERATION
BAKER SHOT (CROSSROADS OPERATION)

r. Land vehicles are entered by name or designation followed by a qualifier stating the type of vehicle or the qualifier VEHICLES if the type is not provided.

Examples:

M-253 TRUCKS
T-80 TANKS

D-7 TRACTORS
OVERLANDER VEHICLES

Amphibious vehicles or ground effect machines are entered by name or designation followed by the qualifier VEHICLES.

Examples:

LVTPXD-1 VEHICLES, not LVTPXD-1 VESSELS
SRN-5 VEHICLES, not SRN-5 AIRCRAFT

s. The term SYSTEMS is used for:

A class of systems (i.e., INFORMATION RETRIEVAL SYSTEMS)

A piece or assemblage of equipment where there are, or will be, more than one produced and operated independently (i.e., AFIS

(AUTOMATIC FILM TITLING SYSTEMS), EC-34 INFRARED RECONNAISSANCE SYSTEMS)

For others, the word SYSTEM is used (i.e., NAMADS (NAVY MATERIALS DISTRIBUTION SYSTEM)

USE: Conditional; use if available.

Revised: 13 August 2003

FIELD 26 - IDENTIFIER CLASSIFICATION

(1 alphabetical character)

Definition: This Field indicates the classification level of the Identifier, or Open-Ended Vocabulary, terms assigned to an item.

Purpose: Classification of Identifiers is necessary to indicate whether the record can be made available for retrieval purposes.

Chief Source of Information: The Identifier Classification is derived from information provided on the Report Documentation Page, Standard Form (SF) 298, and usually is the same as the Item Classification (Field 20).

Form of Entry: The TR database stores a one-character entry for this field which is automatically-generated from Field 20, Item Security Classification. If the Cataloger determines the Identifier Classification is lower than the Item Classification, the revised classification must be entered during cataloging. If Field 25 only contains unclassified terms, the classification is U. The possible values are:

- u = unclassified
- r = restricted (for NATO and foreign items only)
- c = confidential
- s = secret

Rules and Procedures: No punctuation is used at the end of Field 24.

USE: Conditional; use if available.

Revised: 17 September 2003

FIELD 27 - ABSTRACT

(2200 alphanumeric characters)

Definition: A summary of the most significant information contained in the item. An Abstract provides readers with enough information to decide whether they need to consult the full item.

Purpose: The concise information provided in the Abstract is used for determining the usefulness of the item. The Abstract must be carefully selected and prepared to reflect the scientific and technical content of the item as completely as possible within the constraints of the Abstract field. The Abstract generates candidate retrieval terms for subject analysis and serves to help DTIC users determine whether they wish to order the complete report. Abstracts of almost all reports will be processed using Machine Aided Indexing (MAI). The exceptions are dealt with in Section 5.

Chief Source of Information: An Abstract will often be submitted by the contributor on the Report Documentation Page, Standard Form (SF) 298, which serves as a summary sheet that should provide an abstract. (Add Appendix.) Other agencies often provide equivalent documentation pages. If a Report Documentation Page, Standard Form (SF) 298, is not provided, there may be an abstract or summary on the title or first page of a printed document, or the title screen or packaging of an audio-visual or automated item.

Form of Entry: The Abstract is entered as provided, allowing for character limitations. The maximum number of characters includes punctuation, spaces and shifts up and down for capitalization and special characters. The maximum abstract length generally equates to 21 lines of 80-characters per line original text or 16.5 lines of 100-character per line original text. EDMS input is primarily alphanumeric, so some characters/symbols, etc., in the original text have to be verbalized or otherwise converted. Basic verbalization guidelines are provided in the Verbalization for Machinability chart (Appendix D). Symbols used for editing the Abstract text are also provided in this appendix for the documents that arrive in paper format. Abstracts may be selected and entered by the Analysts; but in most cases the Abstract was selected, proofed and scanned by a Data Transcriber. It is important

to review the scanned Abstract before running the MAI process. Care must be taken to distinguish ambiguous characters such as alpha "O" and the numeric zero, or the numeric "1" and the alpha "l" so that, for example, the formula for aluminum oxide is transcribed as "Al2O3" and not "Al203". Most hyphens should be reviewed due to the interpretation they receive in the MAI process.

Rules and Procedures:

1. Review the item's title, abstract, table of contents, introduction, conclusions, etc., to find the most informative text for use as the Abstract. The Abstract is selected and edited to provide succinct, relevant and comprehensible text. Read the text of the potential Abstract for content and watch for inconsistencies or confusion checking the item to clarify a statement or correct a possible error. Abstracts are sometimes written or typed by someone other than the author, and errors, typos, or omissions may not be caught before submission to DTIC.
2. Check through the item to be sure that the intended Abstract applies to the entire item. Some items consist of a compilation of obsolete Form DD 1473's (superseded by the Report Documentation Page, Standard Form (SF) 298) on many topics or are compilations of abstracts, or of short reports/reprints each with its own Abstract. In these cases it may be necessary to make a contents note or list the major topics treated in the document.
3. If the author-supplied Abstract on the Report Documentation Page, Standard Form (SF) 298, or its equivalent, is acceptable, it is usually selected. It may be augmented by text from other parts of the item or may be cut to avoid redundancy by eliminating administrative information already supplied in the item, i.e., contract numbers, originating organization or monitoring agency, reporting coverage, repetition of title information, etc.
4. None of the information in introductory sentences such as the following should be incorporated into the Abstract. Most of the information is administrative and is usually omitted from the Abstract.

"This final report for FY 1987 was prepared by Dr. Henry Smith of the Jones Research Corporation under

contract DA...with the U.S. Army Automotive Tank Command."

"In March 1987, the Air Force...Command tasked the Air Force Laboratory to test the XYZ weapon system. Tests were conducted at...Air Force Base, Texas, 27 April 1986 to 6 June 1987 and at...Test Facility, California, 1 July - 4 September 1987."

However, if the information that tests were conducted in the winter, or were desert tests or flight tests is pertinent for retrieval purposes and the Abstract doesn't contain this information, these terms may be appended to the Abstract as keywords. If the state location is pertinent for retrieval, keep the full name. If the state location is not important, abbreviate the state name, change "Air Force Base" to "AFB" or delete the test site location altogether to make the Abstract more succinct and leave room for valuable information.

5. An abstract may need to be shortened due to excessive length. Check the verso of the Report Documentation Page, Standard Form (SF) 298 (or its equivalent) for the continuation of an Abstract. Sometimes the introductory paragraph/background information of a long Abstract may need to be deleted to keep conclusions at the end of the summary. When deleting text make sure that the cuts will result in grammatical, properly punctuated, and complete sentences. Delete superfluous phrases, footnote symbols or non-pertinent citation references.

Examples:

This preliminary research study will focus on...

The data herein provides...

Previous studies have shown...

Provides a description of...

Expand or spell out ambiguous and/or uncommon acronyms, abbreviations, or chemical formulas.

APPEARS AS:

ENTER AS:

SAR	Synthetic Aperture Radar; or Search and Rescue
HF	High frequency; or Hafnium; or Hydrogen fluoride
IR	Infrared; or Information Retrieval; or Iridium

6. If the Abstract and Title are not explicit about the usage of a general term such as "waves", check the item (including the references) to determine if more specific terms apply, i.e., lake, seismic, internal, plasma, standing, blast. Indicate the applicable word(s), either as keywords or by inserting them the abstract text.

7. If necessary, define unusual, newly coined words or expressions.

8. For those items which will be MAIed, insert the spelled-out form of a chemical formula or acronym, at least once, so that the MAI can attempt to assign the appropriate posting terms. For example, spell out, "Carbon dioxide lasers", for, "CO 2 lasers", either in the Abstract text or in the keywords. MAI does not handle alphanumeric.

9. Specific relevant keywords, either originator or analyst supplied, may be appended to Abstracts that will be MAIed. If there is room in the Abstract field, item-form types are appended at the end, i.e., East German translations, reprints, French patents, Theses, etc. If appended in the Abstract, add the correct controlled or uncontrolled terms to the citation in Field 23 or 25.

10. If the specific nature of the XYZ weapons system is not otherwise revealed in the Abstract and it can be definitely determined from within the item or from reference tools, add the specifics as keywords, such as Retarded guided bombs, Infrared decoy aircraft flares, Soviet helicopters, Air-to-surface antitank missiles, etc.

11. Keywords do not have to be authorized Thesaurus terms but may include identifier-like phrases or code names, such as F-16 aircraft, Hind aircraft, HULL hydrodynamic code, Teal Wing Project; or new concepts for which no thesaurus entries has been established, such as Rail guns, Lyme disease, etc. Remember that MAI: 1) does not handle

numerics; 2) cannot, at present, generate output from phrases consisting of more than four words; and 3) treats a hyphenated phrase as a single adjective. Thus it can generate useful controlled terms from "Russian long-range surface-to-surface missiles" (which MAI regards as a four-word phrase) but less useful terms from the unhyphenated version of the same phrase (which it regards as a seven-word phrase which it may attempt to break at the preposition).

12. Correct typos, grammatical or punctuation errors found in the original copy.

Examples:

Navier-strokes equation

Quadrapture sampling

Fuel/air rations

The results of the study is..

13. Valid spelling variations such a aluminium, analyse, behaviour, catalogues, centre, defence, programme, sulphides, technics, theatre, travelling, etc., are not converted.

14. Abstracts prepared by foreign authors or texts that have been prepared by machine translation may need to be strenuously edited to generate comprehensible English. Correct the grammar and spelling as necessary. When possible, select the most likely of a sequence of alternate English words or substitute another word when the original word or phrase is imprecise.

Examples:

Are presented results

Modulus/module of elasticity

Stress/Voltage of 420 MPa

15. When abstracting a report issued in several volumes or as a series on the same topic, try to indicate the information that is unique to each part. This can

sometimes be achieved by using the same introductory text for each part followed by a partial content note such as:

Topics in volume 3 include

16. Sometimes, when the author has provided a very long, informative abstract to cover several volumes of a report, the Abstract can be continued and concluded in volumes B, C, and D, if it is printed in all the volumes.

17. A contents note may be provided if there is no useful author-supplied Abstract. This is frequently used to indicate the scope of a contract. Ignore sections meaningless for retrieval such as Introduction, Background, Conclusions, References, etc. If some articles are relatively short in length, their titles may be omitted in favor of longer, and presumably more valuable, listings. To avoid repetition of phrases, titles may be combined to convey the general subject matter.

18. If there is no Abstract or if it is inadequate and there is no informative author-supplied text that can be excerpted, the Analyst may have to write a brief Abstract. The Abstract should indicate the general and/or specific subject matter of the report, the overall purpose of the research and/or its applications, and major accomplishments or findings. Additional aspects which may be included as pertinent are:

How the subject matter was treated, e.g. theories, design, tests, analyses, computational techniques, specifications, new materials, production methods, training, etc.

Physical, chemical, biological, etc., properties, factors, effects, etc.

Noteworthy equipment, methods, computer programs, etc., involved.

Environmental, geographic, etc., conditions, e.g. Upper atmosphere, North Carolina offshore structures, Soviet Arctic islands, Ohio Indian mounds, etc.

Applicable project names, code names, Mark/Mod numbers, AN...numbers, identifiers such as F-110 turbofan engines, SSBN-616 class vessels, Hind

aircraft, Pershing-2 missiles, MICE hydrodynamic code, etc.

19. For some reports there may be no valid Abstract. These include those written entirely in a foreign language and occasional mathematical or chemical reports written entirely in equations or diagrams which cannot be meaningfully verbalized for computer input and MAI processing.

a. Other categories of reports processed as "no abstract" include most Announcement Bulletins, Security Classification Guides, those with classified NATO-furnished abstracts.

b. Reports for which no Abstracts are made are manually indexed directly into the EDMS entry screen.

c. Only unclassified Abstracts are entered into DTIC's database for NATO-furnished documents.

USE: Conditional; use if available.

Revised: 13 September 2002

FIELD 28 - ABSTRACT CLASSIFICATION

(1 alphabetical character)

Definition: The Abstract security classification is the highest security classification of the information contained in the Abstract.

Purpose: The Abstract Classification determines whether the Abstract can be made available for retrieval purposes. This Field is computer-generated on unclassified items with an entry in Field 27, but must always be entered for classified items.

Chief Source of Information: The Abstract Classification is normally indicated on the item and may be the same security level or lower than that of the item. If no classification is provided for the Abstract, it is presumed to be the classification of the item. The Abstract Classification should be provided by the source contributing the item on the Report Documentation Page, Standard Form (SF) 298.

Form of Entry: This Field is computer-generated on unclassified items, but must always be entered for classified items. This Field uses one single lowercase letter for entry:

u = unclassified
r = restricted (for NATO and foreign items only)
c = confidential
s = secret

Rules and Procedures:

1. The Abstract Classification is not changed in any way. It is determined from the information provided on the Report Documentation Page, Standard Form (SF) 298, or from the abstract located in the front matter of the item.
2. If it cannot be determined whether an abstract is classified or unclassified, it should always be entered as classified, using the same classification level as the item.

3. This Field is always unclassified for NATO-furnished items because NATO-furnished abstracts are always unclassified.

USE: Conditional; use if Field 27 is available.

Revised: 17 September 2003

FIELD 29 - INVENTORY
(4 numeric characters)

Definition: The Inventory is the number of original copies of an item received by DTIC from a contributor.

Purpose: The Inventory indicates the number of copies on hand for distribution to authorized users. Unclassified/unlimited "A" items are filmed and sent to NTIS for further distribution to the general public.

Chief Source of Information: The Receiving Branch records the number of copies of each item received by DTIC.

Form of Entry: The Receiving Branch enters the inventory in EDMS. The entry must be numeric.

Rules and Procedures: The inventory number is displayed in Field 29.

USE: Mandatory.

Revised: 26 April 2000

FIELD 30 - TITLE ANNOTATION
(450 characters)

Definition: The Title Annotation is used to provide a substitute or modified version of the title. This Field is also used to enter an English-language title for foreign language items and reprint titles.

Purpose: Field 30 is usually an optional field but is required for bilingual titles or reprints. It generates modified titles for bibliographic subject indexes. Field 30 is used to assist NTIS in their requirements to identify all NTIS-announced reprints and translations.

Chief Source of Information: An English translation of the title may not always be given on the item; it may be necessary to obtain a translation from the appropriate source.

Form of Entry: If an item is unlimited and its title is bilingual, the English-language version is entered in Field 30, followed by the word, "translation". The word "reprint" precedes reprint titles entered in this field. The maximum number of characters in field 30 is 450. This includes spaces and shifts up and down for capitalization and special characters.

APPEARS AS:

ENTER AS:

Agriculture in the Soviet Union

Agriculture in the Soviet Union - Translation.

Heat Acclimatization during Summer Running

Reprint: Heat Acclimatization during Summer Running.

Rules and Procedures:

1. The Title entry in this field must always be unclassified and in English.
2. Translated AD-A numbered items (NTIS announced) will have a Title entry in Field 30.

3. Reprints have a title entry in Field 30 unless the item is classified or contains a limited distribution statement.

4. Occasionally when the originator's title is uninformative, the cataloger may supply a more useful Title, which appears only in the subject indexes. A document whose title is "Collected Reprints for Contract...", may note in Field 30, "ADA Applications...Reprints". Similarly, if a rocket propellant manufacturer or an infrared research center issues a report with the Title "Annual Report", the cataloger may supply a more pertinent Title such as, "HTPB Propellants Annual Report" or "Short Wavelength Infrared Research Annual", in Field 30.

5. Standard rules of punctuation for Titles are used unless the Title exceeds the 450 characters allowed for this Field. In this case, the title may be lowercased or shortened to allow for space limitations.

6. Field 30 is ended with a period.

Use Conditional; use if available.

Revised: 26 April 2000

FIELD 31 - SPECIAL INDICATOR CODES

(1 alpha character)

Definition: The special indicator codes w, y, are used by the Input Support Branch to indicate restrictions on item and citation distribution. The Subject Analysis Branch can use Indicator Code "a" in this field.

Purpose: The Indicator Codes are used on items that require certain markings and/or limitations to further restrict distribution.

Chief Source of Information: The type of item is used to determine the correct code.

Form of Entry: Enter one of three lowercase alpha codes: w, y, or a. Modified or historical/obsolete codes are listed for reference in Appendix Q.

Rules and Procedures:

1. The "w" Indicator Code is currently used for items with intelligence markings where the citation is released to only DoD organizations. It is entered when the item is marked with any of the special security markings listed below.

<u>Statement</u>	<u>Acronym</u>
AUTHORIZED FOR RELEASE TO (name of country(ies)/ international organization)	REL TO (used only on classified items)
CAUTION-PROPRIETARY INFORMATION INVOLVED	PROPIN (used only on classified items)
SUBJECT TO EXPORT-CONTROL LAWS	EXPORT CONTROL (used on classified and unclassified items)

Statement

Acronym

DISSEMINATION AND EXTRACTION
OF INFORMATION CONTROLLED

ORCON
(used only on classified
items)

NOT RELEASABLE TO FOREIGN
NATIONALS

NOFORN
(used only on classified
items)

Exception: The "w" Indicator Code is not used for NOFORN items marked for release to U.S. Government agencies only or U.S. Government agencies and their domestic contractors.

2. The "y" Indicator Code is used to designate CNWDI (Critical Nuclear Weapon Design Information) documents. This corresponds to the entry of a CNWDI statement in Field 22.

3. Catalogers use the "a" Indicator Code when the Abstract in Field 27 is not limited, even though the basic report is a classified or unclassified, limited-distribution item. This Code may not be used if any other Code is present.

4. All items with these special markings must be assigned either Distribution Code 4 or 5, except for ORCON items which always have a Distribution Code 5.

5. No punctuation terminates Field 31.

USE: Mandatory on special marked documents.

Revised: 24 November 2003

FIELD 32 - REGRADE CODE

(1 alpha character)

Definition: The Regrade Code applies only to classified documents. Codes "a" through "f" are DTIC control codes representing the DoD regrading or declassification schedule assigned to each classified item by the originator. Code "x" represents items that are declassified according to Executive Order No. 12958 10-year exemption rule.

Purpose: The Regrade Codes are assigned in accordance with DoD 5200. 1-R, *Information Security Program*, January 1997, which implements Executive Order 12958, April 20, 1995.

Chief Source of Information: The classification statement displayed on the item by the originator determines the appropriate Code.

Form of Entry: The Regrade Code (a-x) is entered in lowercase. When necessary, corresponding entries should be made in Fields 11a, 33, 38 and 39. See Classified Document Required Fields Checklist following Field 49 in this Guidelines.

Rules and Procedures:

1. The meanings of the Regrade Code in Field 32 are:

<u>Code</u>	<u>Meaning</u>
a	Document with a Declassification date
b	Document with a Declassification event
c	Document with Originating Agency's Determination Required (OADR) or document with a review date (if document is dated prior to 1

Aug 82)

e	Restricted Data/Formerly Restricted Data Document
f	Foreign Documents
x	10-Year Rule Exemption of Specific Information

2. Items coded "a":

a. Items with Declassification Dates are coded "a" in Field 32 and the date entered in Fields 11a and 38.

b. Secret items with Declassification and Downgrade dates are coded "a" in Field 32, the Declassification Date entered in Field 38, and the Downgrade Date entered in Fields 11a and 39.

3. Items coded "b":

a. Items with Declassification Events are coded "b" in Field 32, and the event entered in Field 38.

b. Secret items with a Declassification Event and Downgrade Date are coded "b" in Field 32, the Event entered in Field 38 and the Downgrade Date entered in Fields 11a and 39.

4. Items coded "c":

a. Although the term, "Originating Agency's Determination Required (OADR)", is no longer authorized, DTIC is not authorized to change this security marking and must record the statement on the document. Items marked OADR should contain the statement, "Declassified on: Source marked OADR, Source dated day month year". Use the most recent date on the item to determine the "Source dated" line.

b. Items with "Declassify on OADR" are coded "c" in Field 32, and OADR entered in Field 38.

c. Items with review dates are coded "c" in Field 32, and OADR entered in Field 38.

d. Secret items with "Declassify on OADR" and Downgrade Date are coded "c" in Field 32, OADR entered in Field 38 and the Downgrade Date entered in Fields 11a and 39.

5. Items coded "e":

a. Items marked "Restricted Data" (for NATO and foreign items only) are coded "e" and Code 51 entered in Field 33.

b. Items marked "Formerly Restricted Data" (for NATO and foreign items only) are coded "e" and Code 52 entered in Field 33.

6. Items coded "f":

Foreign source items are coded "f" in Field 32.

7. Items coded "x":

a. When a specific date within 10 years cannot be established, the original classifier applies the letter "x" plus a brief narrative of the exemption category(ies), or the letter "x" plus the number that corresponds to that exemption category(ies) in section 1.6(D) of Executive Order 12958.

b. These items remain classified until reviewed in 25 years for continued classification. The categories of information that may remain classified beyond 10 years are:

- | | |
|----|--|
| X1 | Reveals an intelligence source, method, or activity, or cryptologic system or activity |
| X2 | Reveals information that would assist in the development or use of weapons of mass destruction |

- X3 Reveals information that would impair the development or use of technology within a United States weapon system
- X4 Reveals United States military plans, or national security emergency preparedness plans
- X5 Reveals foreign government information
- X6 Damages relations between the United States and a foreign government, reveal a confidential source, or seriously undermine diplomatic activities that are reasonably expected to be ongoing for a period greater than 10 years
- X7 Impairs the ability of responsible United States Government officials to protect the President, the Vice President, and other individuals for whom protection services, in the interest of national security, are authorized
- X8 Violates a statute, treaty, or international agreement

c. Items marked "X" are coded "x" in Field 32 and coded X1 - X8 in Field 38. EDMS can accept five codes.

8. When incomplete information is given for Field 32, refer to the office of primary responsibility for the item to determine the correct Declassification Date.

9. No punctuation follows Field 32.

USE: Mandatory on classified documents.

Revised: 26 April 2000

FIELD 33 - DISTRIBUTION/AVAILABILITY CODES
(10 characters for up to a total of 3 codes)

Definition: These Codes are defined and derived from Distribution/Availability statements entered in Field 22. They indicate the availability for distribution, release or disclosure, and limitation on availability of items.

Purpose: The Distribution Codes are used for computer input and retrieval. These Codes indicate whether the item will be made available to the public or to a specific community served by the controlling agency.

Chief Source of Information: The controlling statements that appear on the item determine the Codes used in this field.

Form of Entry: Entries are one or two-digit numbers assigned in three positions and separated by a comma and a space. When both Availability and Special Codes are necessary, the Codes should be entered in numerical sequence.

Rules and Procedures:

1. The first position entry can only have numeric Codes 1 through 5, 7, 9, or 12 through 17. These Codes refer to the distribution restrictions explained in Field 22.

Example:

Field 33: Distribution
Availability Codes

<u>Distribution</u>	<u>Availability</u>	<u>Special</u>
1		

2. The second position can only have numeric Codes 20 through 26 or 51 through 57. These codes can only refer to the Availability Statements explained in Field 22.

Example :

Field 33: Distribution
Availability Codes

<u>Distribution</u>	<u>Availability</u>	<u>Special</u>
3	23	

Codes 51 through 53 and 57 are normally used in the third position, but may be used in the second position when no Code 20-26 applies.

3. The third position is used for Special Codes 51 through 54 or 57 when the other positions in the Field contain data.

Example :

Field 33: Distribution
Availability Codes

<u>Distribution</u>	<u>Availability</u>	<u>Special</u>
3	23	51

4. USE: Mandatory.

Revised: 26 April 2000

FIELD 34 - SERIAL CODE

(10 characters)

Definition: The Serial Code is a modified version of information displayed in Field 6 and Field 9. It identifies the type of item or the report number of a report in a series. The acceptable entries used in this Field are: f = Final Report, a = Annual Report, s = Summary Report, or the appropriate series number.

Purpose: This Field contains identifying information about the item and may indicate whether there will be additional or related reports.

Chief Source of Information: The Codes from this field are derived primarily from the Field 9 entries or from the volume, part, change numbers, etc. No letters, other than "f", "a", or "s" are permitted in Field 34.

Form of Entry: In the Serial Code Field, enter a lowercase a (for annual), f (for final report), or s (for summary report), or a number derived from the Unclassified Title or Descriptive Note at the beginning of the field. The remaining characters can be any combination of letters or numbers. The first letter of the word is used in lowercase; the number(s) should be Arabic.

Rules and Procedures:

1. The order of preference for coding Field 34 is:

- (1) final
- (2) numbers(s)
- (3) annual or summary

2. Any number derived from Field 6 or Field 9, which is a component part in a series, can be used in this field. Phase report numbers are not component parts of a series and should not be used in Field 34.

Examples:

APPEARS AS:**ENTER AS:**

Volume 1	1
Chapter 7	7
Progress rept. no. 2	2
Part 3	3
Quarterly progress rept. no. 6	6

- a. When a volume and a part are used together in Field 6 or Field 9, the volume is entered in Field 34.
- b. When two volumes, parts, etc., appear in Field 6 or Field 9, the higher number is entered in Field 34.
3. If the descriptive note "Technical summary report" is displayed on the item, the cataloger enters "s" in Field 34.
4. No punctuation follows Field 34.

USE: Conditional; use if available.

Revised: 26 April 2000

FIELD 35 - SOURCE CODE
(6 numeric characters)

Definition: The Source Code is a number assigned by DTIC to designate the Corporate Author. This entry generates the performing organization displayed in Field 5.

Purpose: Each corporate author is assigned a Source Code for computer input and retrieval. The Codes are published in the Source Header List.

Chief Source of Information: The appropriate Code is assigned based on the Corporate Author displayed on the item. The Corporate Author is identified and the corresponding Code is obtained from the Source Header List.

Form of Entry: The six-digit numeric source code is entered in Field 35 without any spaces.

Rules and Procedures:

1. Each Corporate Author and its designated Source Code are listed alphabetically in the Source Header List. If the corporate source given on the item does not appear in the Source Header List a Code must be established and entered into the system before it can be used in Field 35. The DTIC Source Specialists provide new Source Codes.

2. No punctuation follows Field 35.

USE: Conditional; use if available.

Revised: 26 April 2000

FIELD 37 - CLASSIFICATION AUTHORITY
(100 characters)

Definition: Field 37 identifies the Classification Authority as given on the item and specifies a particular official, source document or classification guide or date.

Purpose: The Classification Authority provides justification for the security markings that appear on the item, per DoD 5200.1-R, par. 5-100 through 5-300.

Chief Source of Information: The classification information is used as given on the item without change unless the space limitation is exceeded in EDMS.

Form of Entry: The data in this Field are entered in lowercase with a limit of 100 characters. If the maximum number of characters is exceeded, words may be abbreviated or deleted. It is important to retain as much meaningful information as possible.

Rules and Procedures:

1. All DoD classified items require data in this field.
2. There is no requirement for a declassification marking (Field 38) on Restricted Data or Formerly Restricted Data.
3. Dates appearing in this field are written in the format: day, month (three-letter abbreviation), year. For example: 25 Jan 1986.
4. See page ??, Classified Document Required Fields Checklist.
5. No punctuation follows Field 37.

USE: Mandatory on domestic items. Mandatory, if available, on classified foreign items.

Revised: 26 April 2000

FIELD 38 - DECLASSIFICATION DATE/EVENT
(100 characters)

Definition: Field 38 identifies a specific date or event that provides for the declassification of an item. When no Declassification Date or Event is displayed on the item, the following entry is used: OADR (Originating Agency's Determination Required).

Purpose: The presence of a Declassification Date/Event indicates the originating agency has determined a specific date when classified material no longer requires, in the interest of National Security, any degree of protection against unauthorized disclosure. The use of the statement OADR indicates that the approval of the originating agency is necessary before the item can be declassified.

Chief Source of Information: The declassification information provided by the originating agency must be displayed on the item cover and/or title page.

Form of Entry: All dates are entered according to the format: day, month (three-letter abbreviation), year, e.g., 25 Jan 1987. If OADR is used, it should be entered in uppercase.

Rules and Procedures:

1. Dates have the year entered with four digits.

Example:

Date - December 31, 2005
Field 38 entry: 31 Dec 2005

2. No entry is required in Field 38 for Restricted Data and Formerly Restricted Data and foreign documents.
3. No punctuation follows Field 38.

USE: Conditional; use if available.

Revised: 26 April 2000

FIELD 39 - DOWNGRADING DATE/EVENT
(100 characters)

Definition: At the time of original classification a specified date or stated event may be applied to an item when downgrading will occur. The Downgrading Date or Event may be on a secret item to state when it will be downgraded to confidential.

Purpose: The original classification authority may determine that there is sufficient reason to downgrade an item from its assigned classification. This determination is based on consideration of National Security and loss of sensitivity of information with the passage of time.

Chief Source of Information: The original classification authority makes the decision regarding automatic downgrading of secret items. The Downgrade Date/Event appears on the cover and/or title page of the item.

Form of Entry: The Downgrade Date is entered in the format: day, month (three-letter abbreviation), year. The year is entered with four digits. For example: 8 Jan 1988.

Rules and Procedures:

1. The Downgrade Date/Event is not a required element and does not appear on most items. If it is used, this date is present on secret items.
2. The Downgrade Date/Event is always entered in Field 39 and 11a as the next date of reclassification.
3. No punctuation follows Field 39.

USE: Conditional; use if available.

Revised: 26 April 2000

FIELD 49 - AUTHORITY FOR CHANGES

(701 alphanumeric characters: 49a-120; 49b-120; 49c-460;
49d-1)

Definition: This Field provides information authorizing the changing of Classification or Distribution Limitation for items, as well as providing explanations of security information history for internal DTIC use.

Purpose: Entries in this Field explain the reason or justification for a change in Classification or Distribution of items. It also provides DTIC employees with further notes or information on changes.

Chief Source of Information: Items with an scheduled downgrade/declassification date entered when originally cataloged automatically generate a list for completion by Citation Maintenance. Other items are changed after notification by the Controlling Authority, usually, but not always, the Monitor Organization.

Form of Entry: The information is entered during EDMS Citation Maintenance, and there are four sub-fields: Classification (49a), Distribution Limitation (49b), Security Information History (49c) and Data Error (49d). 49c and 49d are internal DTIC use only and not displayed in DROLS or STINET. Entries in 49a and 49b are displayed as entered, separated by a semi-colon when both sub-fields are used.

Rules and Procedures:

Entries in 49a, 49b and 49c are free-text, with standard abbreviations used.

The entry in 49d is a period and is only used when an outdated Distribution Statement/Code is replaced by a current one that does not change the limitation(s). Entry in this sub-field prevents a "Target Sheet" being created for further cataloging changes.

USE: Conditional; use if available.

Revised: 2 October 2003

CLASSIFIED DOCUMENT REQUIRED FIELDS CHECKLIST

<u>Document Date</u>	<u>Regrade Code</u>	<u>Fields</u>
Declassification date	A	37+38+11a
Declassification event	B	37+38
Originating Agency's Determination Required (OADR)	C	37+38
Review date (Record only as OADR)	C	37+38
Restricted Data/Formerly Restricted Data	E	37+38 (when given)
Foreign Documents	F	
<u>SECRET</u> documents with:		
Declassification and downgrade to Confidential date	A	11a 37+38+39
Declassification event and downgrade date	B	11a 37+38+39
OADR and downgrade date	C	11a 37+38+39

Revised: 26 April 2000

Report Type Required Fields Checklist

Acquisition Reports	Field 25: AQ # (if available)
AFSAA Reports	Field 5: AIR FORCE STUDIES AND ANALYSES AGENCY Field 25: AFSAA Collection
AGARD Reports	Field 5: ADVISORY GROUP FOR AEROSPACE RESEARCH AND DEVELOPMENT Field 18: X5 Field 19: AGARD Field 25: NATO Furnished, Foreign Reports, AQ # (if available)
BMDO Reports (Ballistic Missile Defense Organization)	Field 25: BMDO Collection, UL #
Conference Proceedings	Field 6: - Conference series number should always appear at the end of the main title, i.e., Proceedings of the 2001 Space Control Conference 19th Annual) Held in Lincoln Laboratory, Hanscom AFB, MA on 3-5 April 2001. - Make sure to include location and dates in title whenever possible. - Always check DROLS to ensure title appears with consistency. Field 25: Symposia
Defense Science Board Reports³⁸	Field 5: DEFENSE SCIENCE BOARD WASHINGTON DC Field 18: XD Field 19: Usually OUSD(AT/L), but could be OSD, OASD, DSB Field 22: Controlling office should be DSB unless it is otherwise specifically indicated
DSTO Reports	Field 5: DEFENCE SCIENCE AND TECHNOLOGY ORGANISATION CANBERRA (AUSTRALIA) Field 14: DSTO-TR-xxxx

³⁸ 20 November 2001 - added GAO

	Field 18: DODA, X5, Field 19: AR-xxx-xxx, DSTO/xxx ³⁹ Field 23: Australia Field 25: Foreign Reports, AQ # (if available)
FBIS Reports	Field 18: XX Field 19: FBIS Field 25: FBIS Collection
Foreign Language Reports	Field 6: Title. (Trans. Title in English) Field 21: Text in _____. Field 23: Country of Origin Field 25: Foreign Reports, Language Trans. From _____, AQ # (if available)
GAO Testimonies ⁴⁰	Field 9: Congressional Testimony Field 10: Name of the person listed after the title following the text, "Statement of....." Field 21: Testimony before the ... Field 25: GAO Reports, GAO Testimony
Inspector General Audit Reports	Field 2: P5/01 Field 18: XD Field 19: IG/DOD Field 23: *Auditing Field 25: AQ I# (if available)
Intelligence Review Reports (classified)	Field 23: *Military Publications Field 25: *Intelligence Review
Machine Translated Reports	Field 21: Trans. of _____ Field 23: Country of origin Translation Field 25: Foreign Reports, AQ # (if available)
NATO Reports	Field 23: NATO Field 25: NATO Furnished, Foreign Reports
NRL Library Reports (Classified)	Field 25: NRL Library Collection NRL-xxxxx
Patents	Field 14: PAT-APPL-xx xxx xxx PATENT-x xxx xxx

³⁹ 8 March 2004 - corrected

⁴⁰ 8 April 2002 - added DSB

	<p>NAIC-ID(RS)T-2001-00089-T (give the report number if patent is a translation)</p> <p>Field 21: Supercedes PAT-APPL-xx xxx xxx, AD-XXXXXXX; Russian patent no. RU-2141708 (give the country of origin's patent number if patent is a translation)</p> <p>Field 23: *Patents; (see Foreign Language Docs if patent is a translation)</p> <p>Field 25: PAT-CL-xxx-xx</p>
Patent Applications	<p>Field 14: PAT-APPL-xx xxx xx</p> <p>NAIC-ID(RS)T-2001-00089-T (give the report number if application is a translation)</p> <p>Field 21: Russian patent application no. RU-2141708 (give the country of origin's number if application is a translation)</p> <p>Field 23: *Patent Applications; (see Foreign Language Docs if application is a translation)</p>
RAMP Reports	<p>Field 25: RAMP(Rapid Acquisition of Manufactured Parts), FCIM(Flexible Computer Integrated Manufacturing)</p>
SACLANTCEN Reports	<p>Field 18: X5</p> <p>Field 19: SACLANTCEN</p> <p>Field 25: NATO Furnished Foreign Reports, AQ # (if available)</p>

SBIR/STTR Reports ⁴¹	<p>Field 6: Omit Topic Service Alpha/FY number and Phase numbers at the beginning of the title.</p> <p>Field 9: Final rpt. (Don't use Phase numbers)</p> <p>Field 25: SBIR (Small Business Innovation Research) or STTR (Small Business Technology Transfer); SBIR Topic Service Alpha/FY number and Phase number</p> <p>Field 30: Solicitation Title if different from the Final Report Title</p>
SERDP Reports	<p>Field 18: XD</p> <p>Field 19: SERDP</p> <p>Field 25: SERDP Collection, SERDP (Strategic Environmental Research and Development Program)</p>
TTCP Reports	<p>Field 18: X5</p> <p>Field 19: TTCP</p> <p>Field 25: TTCP Collection, TTCP (The Technical Cooperation Program)</p>

Revised: 8 March 2004

⁴¹ 20 August 2003 -added SBIR/STTR

CATALOGING NATO DOCUMENTS

Definition: The North Atlantic Treaty Organization (NATO)⁴² is an inter-governmental organization that provides a forum for and the structure to, facilitate consultation and cooperation among member nations. DTIC collects and catalogs documents generated by military decision-making bodies of NATO.

Chief Source of Information: The NATO title is obtained from the title or cover page of the report, the Report Documentation Page, Standard Form (SF) 298, or rarely the abstract. If the title is not available from these, the subject line of a letter or transmittal cover page is used as the title. The Chief Source of Information for NATO documents is often difficult to determine. It is necessary to look through the first three to five pages of the NATO document to determine which page is the actual document cover and not simply a cover letter or transmittal.

Form of Entry: Refer to the sections being cataloged for guidance on Form of Entry for the field. Exceptions are noted below.

NATO Exceptions to *Guidelines* Rules and Procedures:

There are several exceptions to DTIC's standard handling and processing policies when dealing with NATO documents. These exceptions are in place to ensure the security of these documents and comply with NATO guidelines. For specific information regarding the handling procedures for classified NATO documents, contact the DTIC NATO Control Officer, Processing and Storage Branch, Operations Directorate. For unclassified NATO documents, contact the Foreign Documents Officer, Information Collections Branch, Operations Directorate.

Field 6 - Title

1. Some NATO documents have a memorandum-style cover sheet, while others begin the body of the report on the first page. If a NATO item has an attached document, we will use the cover of that document as the authority for

⁴² The *NATO Handbook* (<http://www.nato.int/docu/handbook/2001/index.htm>) provides a comprehensive overview of NATO and includes a list of acronyms.

cataloging information. Catalogers should only use a cover sheet/letter as the Chief Source of Information when the cover sheet/letter itself is the document. For example, NATO C3 Board reports may be a Decision Sheet, Note, Notice, or Working Paper and not include any enclosed document.

2. In many cases, several different NATO sub-committees will send copies of the same documents to DTIC. To avoid accepting and cataloging duplicate documents, it is now DTIC NATO policy that we accept and catalog only the first copy received, even though the cover/transmittal letters are different.

3. Subcommittees should be referenced in the supplementary note, not the Title.

APPEARS AS:

NATO Air Traffic Management Committee (NATMC). Guidance for Handling SSR Mode S Allied Exempted State Aircraft

ENTER AS:

Field 6: Guidance for Handling SSR Mode S Allied Exempted State Aircraft

Field 21: NATO Air Traffic Management Committee (NATMC).

4. The title of a NATO document is often the same title as the NATO meeting. These titles are cataloged following the rules for conferences and proceedings. Meetings should have the number of the meeting added in parentheses after its name. The words "Held in" and "on" should be added to the title to indicate the place and date of the conference.

APPEARS AS:

NATO C3 Board NATO Frequency Management Sub-Committee Technical Working Group Decision Sheet/Record of the 13th TWG in NATO Session held at NATO HQ, on 29-30 Sep 2003

ENTER AS:

Field 6: Decision Sheet/Record of the TWG in NATO Session (13th) Held in Brussels, Belgium on 29-30 Sep 2003

Field 21: Submitted by the NATO C3 Board Frequency Management Sub-Committee Technical Working Group.

In instances where the stated meeting location is "NATO HQ, Brussels, Belgium" always drop "NATO HQ" out of the title. If the stated meeting location is simply "NATO HQ," substitute "Brussels, Belgium."

APPEARS AS:

NATO C3 Interoperability Environment
 Testing Working Group (NIETWG) 9th
 Meeting of the NIETWG held at NATO
 HQ, Brussels, Belgium
 13-14 December 2000

ENTER AS:

Field 6: Meeting of the NIETWG (9th)
 Held in Brussels, Belgium on 13-14
 December 2000

Field 21: Submitted by the NATO C3
 Interoperability Environment Testing
 Working Group (NIETWG).

5. If a NATO item is made up of a cover letter and 2 or more attached documents, DTIC will catalog the individual documents separately.

The Selectors will:

- Separate the individual documents enclosed within one cover letter.
- Copy the cover letter and attach it to the document(s) without the SPN number.
- Circle the enclosure number and return the document(s) that did not receive a SPN number to Document receiving so it can receive a new SPN.

The Catalogers will:

- Add a note to Field 21 stating: "This document is Enclosure X of..., dated... (use the title and date from subject line of cover sheet)."

By copying the cover sheet when there is more than 1 document in the enclosure the link between or among the documents is retained. Often NATO uses the numbers on the cover sheet to track documents. We can not put the documents in as mother/daughters, since we can't have daughters without a mother. We don't want to make the NATO cover sheet the mother.

With the above procedure, anyone searching for a cover sheet title, which often doesn't match the document title will find both. If we catalog just one document when we have been sent two, we don't give a complete description of what we have in our database. If we copy the cover sheet for each enclosure we are providing the link that NATO intended when they mailed the documents using 1 cover sheet.

DTIC's policy of no longer accepting draft documents extends to NATO documents. If the NATO document types of Decision sheet, Note and Notice appear to be works in progress; DTIC will not add them to the collection.⁴³

Field 9 - Descriptive Note

Acceptable entries for NATO items include: Decision sheet, Note, and Notice, if applicable.

Field 14 - Report Number

NATO tracking numbers (often found on the cover/transmittal letter) should be entered as a Report Number.

Examples:

NADC-D(2003)19(INV)
AC/322(SC/3-WG/3)DS(2003)002(INV)
NACMO/BOD(AAC)D(2003)31-REV2(INV)

Field 21 - Supplementary Note

1. NATO subcommittees are entered in the Supplementary Note. Use "submitted by" if the subcommittee is providing the item cataloged. Use "submitted to" if the subcommittee is utilizing an item received from a 3rd party source. This information can be discerned from the cover/transmittal letter.

APPEARS AS:

NATO C3 Interoperability Environment
Testing Working Group (NIETWG) 9th
Meeting of the NIETWG held at NATO
HQ, Brussels, Belgium
13-14 December 2000

ENTER AS:

Submitted by the NATO C3
Interoperability Environment Testing
Working Group (NIETWG).

APPEARS AS:

Committee on the Challenges of
Modern Society (CCMS) Pilot Study on
Modeling Nutrient Loads and Response
in River and Estuary Systems

ENTER AS:

Submitted to the Committee on the
Challenges of Modern Society (CCMS).

⁴³ February 2004 - DTIC Information Collection Division Meeting.

2. Any enclosure or annex that is not separately cataloged should be listed in the Supplementary Note using the following format:

"Document includes the following annex(es):"

or

"Document includes the following enclosure(s):"

Field 23 - Descriptors

Use "NATO" only when the item content is about NATO. For example, a report titled, *NATO's Role in World Peace*.

Field 25 - Identifiers

Use "NATO Furnished," "Foreign Reports"

Revised: 4 March 2004

CATALOGING NONPRINT ITEMS

Definition: Multimedia items, formerly referred to as nonprint items, include various physical and electronic formats, including CD-ROMs, DVDs, videos, computer diskettes, magnetic tapes and audio tapes. More than one format, including print materials, may be parts of an item.

Chief Source of Information: Use the contributor information provided on DTIC Form 530, Nonprint Form, or the Report Documentation Page, Standard Form (SF) 298. Further information may be obtained from covers, opening credits, title screens, packaging or the "Properties" information that can be found as part of digital files.

Form of Entry: When describing multimedia items, DTIC follows rules established in, *The Anglo-American Cataloging Rules (AACR2)*, which covers items made up of several types of material (area 1.10). Rule 1.10B states if an item has one predominant component, describe it in terms of that component. Exceptions are noted below.

Nonprint Exceptions to Guidelines Rules and Procedures:

Field 1 - Accession Number

EDMS automatically assigns Accession Numbers for nonprint items. Accession Numbers falls into the ADM... number range.

Field 4 - Media Type

See the entry for Field 4 for details on entries of multimedia and electronic items.

Field 5 - Corporate Author

Corporate Author information is obtained from DTIC Form 530, Nonprint Form, or the Report Documentation Page, Standard Form (SF) 298. See the entry for Field 5 on how to determine the Corporate Author when none is provided

Field 6 - Title

Use the Title given on DTIC Form 530, Nonprint Form, the Report Documentation Page, Standard Form (SF) 298, or

provided on the physical media if no other is provided. The Media Type is stated in parentheses following the Title:

Examples:

DTIC Thesaurus on Diskette (ASCII) Text
Version (Computer Diskette).

The Work Unit Information System
(Videorecording)

Field 10 - Personal Authors

Use the names of individual(s) responsible for the content of the item, such as director, programmer, etc. This is obtained from DTIC Form 530, Nonprint Form or the Report Documentation Page, Standard Form (SF) 298. It may also be necessary to consult the opening screen or credits or accompanying documentation for multi-media items.

Field 11 - Date of Publication

For video recordings, use the date the original production was completed or date issue. For diskettes and magnetic tapes, use the creation date or date provided on accompanying documentation when available.

Field 12 - Pagination

The Selector enters the number of individual pieces of an item in "Number of Pieces" on the Multimedia screen, which generates the entry for this Field.

Field 14 - Report Number

Use the Report Number given on DTIC Form 530, Nonprint Form, or the Report Documentation Page, Standard Form (SF) 298. It may also be necessary to consult the opening screen or credits or accompanying documentation for multi-media items. If no report number is provided, follow the *Guidelines* for Field 14.

Example:

DTIC-VIDEO-90-001
DTICA-MT-90-001

Field 21 - Supplementary Note

Provide credits and cast if available, listing the names of responsible individuals followed by their function. Describe accompanying material, such as documentation, and include AD number(s) if cataloged separately.

Example:

Credits: Claire Tozier, Producer; Barbara Lesser, Cinematographer; Walter Cronkite, Narrator; Also available in paper copy, AD-A001 001 and floppy disk, AD-M001.

Field 27 - Abstract

Information entered in Field 4, Media Type, sub-fields: a) Electronic File Characteristics, b) Physical Description, and c) Systems Detail Note becomes a system-generated entry at the beginning of the Abstract.

These include:

- A. Recording System - Mandatory for videocassette.
- B. Color - Use col., b&w, or mixed col. and b&w.
- C. Sound - Use sd. or si. (silent). Details such as stereo may be given.
- D. Size - Provide the width of videocassettes and the diameter of videodiscs in inches.
- E. Playing Time - Provide in minutes.
- F. Special projection requirements, i.e., multiprojector.
- G. Number of physical units, i.e., 2 videocassettes. Entered at the Selection Stage in Field 12, Pagination.
- H. File Characteristics, i.e., file size unknown, ASCII character set.

Provide the Physical Description not automatically generated from Field 4 or its sub-fields immediately following the generated entry, i.e., one disk contains main dictionary, second disk is backup

Example:

Physical description: 1 videocassette in VHS,

col.; sd.; mono.; 30 mins.; standard playback
speed; ½ in.

Revised: 13 August 2003

CATALOGING PATENT APPLICATIONS

Definition: The patent application is the first step in applying for a patent from the U.S. Patent and Trademark Office (USTPO). The patent application must include a specification, including a claim or claims; drawings, when necessary; an oath or declaration; and the prescribed filing fee.

Chief Source of Information: The Chief Source of Information for Patent Applications is obtained from the title or cover page of the patent application, the Report Documentation Page, Standard Form (SF) 298, or abstract.

Form of Entry: Refer to the sections being cataloged for guidance on Form of Entry for the field. Exceptions are noted below.

Patent Applications Exceptions to *Guidelines* Rules and Procedures:

Field 1 - Accession Number

EDMS automatically assigns Accession Numbers for patent items. Accession Numbers fall into the ADP.. number range.

Field 5 - Corporate Author

The Corporate Author is the military headquarters shown on the cover page. Use only headquarters source codes:

Air Force	- 109850
Army	- 109900
Navy	- 110050

Exception: No military connection. If a military source is not available, use the institution or company responsible for the invention as the Corporate Author. The responsible institution is listed as Assignee on the patent. The CAIS code XJ is entered in Field 18 and the U. S. Patent and Trademark Office (USPTO) acronym is entered in Field 19.

Field 6 - Title

The title is the name of the patent shown on the title page.

Field 9 - Descriptive Note

Use the filing date on the cover page, and repeat in Field 11.

Example:

Patent Application, Filed 24 Nov 1986

Field 10 - Personal Authors

Use the name of the inventor(s) shown on the cover page.

Field 11 - Date of Publication

Use the filing date shown on the cover page.

Field 14 - Report Number

Use the serial number from the cover page, substituting a space for the comma.

Example:

PAT-APPL-674 254

Field 33 - Distribution/Availability Codes

Enter Distribution Code 1 for Patent Applications.

Revised: 13 August 2003

CATALOGING PATENTS

Definition: The U.S. Patent and Trademark Office (USPTO) defines a patent as a property right granted by the Government of the United States of America to an inventor. The purpose of a patent is "to exclude others from making, using, offering for sale, or selling the invention throughout the United States or importing the invention into the United States" for a limited time in exchange for public disclosure of the invention when the patent is granted.

Chief Source of Information: The Chief Source of Information for Patents is obtained from the title or cover page of the patent application, the Report Documentation Page, Standard Form (SF) 298, or abstract.

Form of Entry: Refer to the sections being cataloged for guidance on Form of Entry for the field. Exceptions are noted below.

Patent Exceptions to Guidelines Rules and Procedures:

Field 1 - Accession Number

EDMS automatically assigns Accession Numbers for nonprint items. Accession Numbers fall into the ADP.. number range.

Field 5 - Corporate Author

The Corporate Author is the military headquarters shown on the cover page. Use only headquarters source codes:

Air Force	- 109850
Army	- 109900
Navy	- 110050

Exception: If a military source is not available, use the institution or company responsible for the invention as the Corporate Author. The responsible institution is listed as Assignee on the patent. The CAIS code XJ is entered in Field 18 and the U. S. Patent and Trademark Office (USPTO) acronym is entered in Field 19.

Field 6 - Title

The title is the name of the patent shown on the title or cover page.

Field 9 - Descriptive Note

Use the filing date on the cover page, and repeat in Field 11.

Example:

Patent, Filed 27 Jan 1981, patented 16 Aug 1983,

Exception: If the item is a Reissued Patent, the Descriptive Note contains the Patent filing date and the Patent reissue date.

Example:

Patent, Filed 17 July 1969, reissued 25 Nov 1975

Field 10 - Personal Authors

Enter the names of the inventors following the rules under Field 10 in the *Guidelines*.

Field 11 - Date of Publication

Use date patent was filed.

Field 14 - Report Number

Show both the patent application no. and the patent no.

Example:

PAT-APPL-228 848, PATENT-4 399 526

Always substitute a space for a comma in the numbers.

Exception: Reissued Patent numbers are entered to show both the patent application no. and the patent reissue no.

Example:

Field 21 - Supplementary Note

Use a supersession note to link the patent application and the DTIC TR Accession Number, if applicable.

Example:

Supersedes PAT-APPL-228 848-8 1, AD-13000 000.
(Take the application number and add the last two digits of the filing year.)

Field 22 - Distribution/Availability Statements

All patents carry this statement:

Availability: This Government-owned invention available for U.S. licensing and, possibly, for foreign licensing. Copy of patent available Commissioner of Patents, Washington, DC 20231.

Field 23 - Descriptors

Use "". Use, "" (if applicable).

Field 25 - Identifiers

Use "" (if applicable).

Revised: 13 August 2003

CATALOGING REPRINTS

Definition: Reprints are defined according to *Webster's Third International Dictionary* as an article or extract issued separately after being first published as part of a collection or in a periodical.

Chief Source of Information: The cover, title page and Report Documentation Page, Standard Form (SF) 298, will usually provide the information to identify a reprint. However, information may be found in the abstract, footnotes or the acknowledgments paragraph at the end of the reprint.

Form of Entry: Refer to the sections being cataloged for guidance on Form of Entry for the field. Exceptions are noted below.

Reprint Exceptions to Guidelines Rules and Procedures:

Field 6 - Title

Symbols in titles are verbalized. Use the Verbalization Chart in Appendix D.

Field 9 - Descriptive Note

The descriptive notes, Final rept., Technical rept., or Journal article may be used in Field 9.

Field 11 - Date of Publication

Use the date of publication.

Field 15 - Contract/Grant Number

Contract and grant numbers are not always listed on the Report Documentation Page, Standard Form (SF) 298. Information may be found in the report itself, such as in the acknowledgment paragraph at the end of the reprint, or in a footnote.

Field 21 - Supplementary Note

1. "Prepared in cooperation with" is not used for reprints.

2. Papers taken from conference or symposium proceedings should be cataloged as follows:

APPEARS AS:	ENTER AS:
Reprinted from the Proceedings of the 1st. International Conference on Computer Work stations. Held November 11-12, 1985 in San Jose, California.	Availability: Pub. in Proceedings of International Conference on Computer Work stations (1st), p247-253, 11-12 Nov 1985. Available only to DTIC users. No copies furnished by NTIS.

APPEARS AS:	ENTER AS:
Materials Research Society Symposium Proceedings, vol 67, 1986.	Pub. in Symposium Proceedings of the Materials Research Society v67 p157-164 1986. Available only to DTIC users. No copies furnished by NTIS.

3. For reprints from monographs (books) the following format is used:

APPEARS AS:	ENTER AS:
M. R. Smyth and J. G. Vos Electrochemistry, Sensors and Analysis, Elsevier Science Publishers B.V., Amsterdam 1987.	Pub. in Electrochemistry, Sensors and Analysis, p3-11 1987.

4. For reprints where the government has rights to distribute and the distribution statement is coded 1, enter the availability source in Field 21.

Field 22 - Distribution/Availability Statements

1. The Availability/Distribution Statement for reprints with a Code 20 should be entered in Field 22. The following format is used:

APPEARS AS:	ENTER AS:
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Journal of Crystal Growth 83 (1987) 202-210	Availability: Pub. in Jnl. of Crystal Growth, v83 p202-210 1987. Available only to DTIC users. No copies furnished by NTIS.
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APPEARS AS:	ENTER AS:
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Journal of Geophysical Research 1992, A3, March 1, 1987 2551-2554	Availability: Pub. in Jnl. of Geophysical Research, V92 nA3 p2551-2554, 1 Mar 1987. Available only to DTIC users. No copies furnished by NTIS.
--	---

2. The Availability/Distribution Statement for reprints with a Code 21 is entered in Field 22. The following format is used:

APPEARS AS:	ENTER AS:
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Marine Geodesy, volume 8, numbers 1- 4 1984	Availability: Pub. in Marine Geodesy, v8 n1-4 1984 (No copies furnished by DTIC/NTIS).
--	---

3. To identify abbreviated journal titles use the latest edition of the following reference books:

Ulrich's International Periodicals Directory.
Energy Data Base Serial Titles with ISSN Listing.

Field 23 - Descriptors

Use "Reprints". Use original language, country of origin, "Translations" (if applicable).

Field 25 - Identifiers

Use "Foreign Reports" (if applicable).

Field 30 - Title Annotation

The title of a reprint is repeated in Field 30. Click the reprint button. The following format is automatically generated.

Field 6 Analytical Pulse Voltammetry.
Field 30 Reprint: Analytical Pulse Voltammetry.

Exception: Field 30 is not used for classified or limited translated reprints.

Field 33 - Distribution/Availability Codes

The Selectors enter the codes used in Field 33.
Distribution/Availability Code 1, and Codes 20 and 21 are used for reprints.

Enter As:
1,20
1,21

Revised: 9 September 2003

REFERENCES

1. *Abstracting and Indexing Guidelines*, Defense Technical Information Center, January 1989.
2. AGARD-R-779, *Guide to Document Security Markings and Distribution Statements used by NATO and NATO Member Nations*, March 1991, paragraph 4.2, p.7. (AD-B242 571)
3. *Anglo-American Cataloging Rules. 2nd Edition, 2002 Revision*. Chicago: American Library Association, 2002.
4. *Defense Federal Acquisition Regulation Supplement (DFARS)*, Subpart 227.4 and Part 211 and Part 252, April 26, 2002.
http://www.acq.osd.mil/dp/dars/dfars/html/r20020426/227_4.htm
5. *Directory of Organizational Technical Report Acronym Codes (DOTRAC)*. July 1994. (AD-A281 500)
6. DoD 5200.1-R, *Information Security Program*, January 1997. (AD-A325 699) (<http://handle.dtic.mil/100.2/ADA325699>).
7. DoD Directive 5210.2, *Access to and Dissemination of Restricted Data*, January 12, 1978, with changes 1 & 2. (AD-A272 434). Directive with change 3, November 16, 1994, is available to authorized users in the .mil and .gov domains at:

https://lad.dtic.mil/whs/directives/corres/pdf/d52102wch3_011278/d52102p.pdf
8. DoD Directive 5230.24, *Distribution Statements on Technical Documents*, 18 March 1987. (AD-A272 069). Available to authorized users in the .mil and .gov domains at:

https://lad.dtic.mil/whs/directives/corres/pdf/d523024_031887/d523024p.pdf
9. DoD Directive 5230.25, *Withholding of Unclassified Technical Data from Public Disclosure*, 11 June 1984. (AD-A272 070). Change 1, August 18, 1985. (AD-A306 735). Available to authorized users in the .mil and .gov

domains at:

https://lad.dtic.mil/whs/directives/corres/pdf/d523025wch1_110684/d523025p.pdf

10. DoD Directive 5230.9, *Clearance of DoD Information for Public Release*, 9 April 1996. (AD-A309 861) (<http://handle.dtic.mil/100.2/ADA309861>). Directive with change 1, July 15, 1999, is available to authorized users in the .mil and .gov domains at: https://lad.dtic.mil/whs/directives/corres/pdf/d52309wch1_040996/d52309p.pdf
11. DoD Instruction 7930.2, *ADP Software Exchange and Release*, December 31, 1979. (AD-A272 548). Available to authorized users in the .mil and .gov domains at: https://lad.dtic.mil/whs/directives/corres/pdf/i79302_123179/i79302p.pdf
12. *DTIC Thesaurus*. October 2000. (AD-A378 274) (<http://handle.dtic.mil/100.2/ADA378274>) <http://stinet.dtic.mil/cgi-bin/thes-add1.pl>
13. Executive Order 12356, *National Security Information*, April 2, 1982. http://www.archives.gov/federal_register/codification/executive_order/12356.html
14. Executive Order 12958, *Classified National Security Information*, amended March 25, 2003. <http://www.whitehouse.gov/news/releases/2003/03/20030325-11.html>
15. *Guidelines for Descriptive Cataloging of Reports: a Revision of the COSATI Standard for Descriptive Cataloging of Government Scientific and Technical Reports*. 1985. (AD-A160 409)
16. *Guidelines for Forming Open-Ended Terms*, 4th ed, Defense Technical Information Center, December, 1993. Supplement to *Abstracting and Indexing Guidelines*, Defense Technical Information Center, 1989.

17. International Standards Organization. *Data Elements and Interchange Formats--Information Interchange--Representation of Date and Time*. ISO 8601:1988.
18. National Information Standards Organization. *Standard Technical Report Number (STRN) Format and Creation*. ANSI/NISO Z39.23-1997.
<http://www.niso.org/standards/resources/Z39-23.pdf>
19. National Information Standards Organization. *Scientific and Technical Reports - Elements, Organization, and Design*. ANSI/NISO Z39.18-1995.
<http://www.niso.org/standards/resources/Z39-18-1995.pdf>
20. *Project Number Formats*. July 1976. (AD-A028 150)
21. Report Documentation Page, Standard Form (SF) 298, Rev. 8/98.
http://www.dtic.mil/dtic/forms/SF0298_fillable.pdf
22. *Representation for Calendar Date and Ordinal Date for Information Interchange*. ANSI/INCITS 30-1997.
23. *Source Header List*. July 1998. Volume I, (AD-A348 602) and Volume II, (AD-A348 603)
<http://www.dtic.mil/corpsource/>
24. *Source Hierarchy List*. July 1994. Volume I, (AD-A281100); Volume II, (AD-A281101); and Volume III, (AD-A281102)
25. *Subject Categorization Guide for Defense Science and Technology*. October 1986. (AD-A172 650)
<http://www.dtic.mil/dtic/subcatguide/#subcats>
26. Ulrich's International Periodicals Directory. New York: R.R. Bowker, Annual.
<http://www.ulrichsweb.com/ulrichsweb/>

Other reference tools used by Analysts, especially when working in unfamiliar subject areas, include:

Dictionaries and encyclopedias, such as the *McGraw-Hill Encyclopedia of Science & Technology*, both general and subject-specific, located in the branch, in other branches or in the Library.

Gazetteers and atlases

Code name listings

Acronym listings

Jane's All the World's Aircraft, ...Fighting Ships, etc.
(<http://www.janes.com>)

Thesauri developed by other agencies (NASA, DOE, WES, etc.
This includes Project LEX's *Thesaurus of Engineering and
Scientific Terms*, 1967.) (AD633279)

Revised: 6 October 2003

APPENDIX A

STANDARD ABBREVIATIONS FOR TERMS USED IN THE CORPORATE AUTHOR HEADING

Abteilung	Abt.
Air Force Base	AFB
Air Force Station	AFS
Aktiebolaget	A.B.
Aktiengesellschaft	A.G.
Aktieselskab	A/S
Anciens	Anc.
Bij voorbeeld	B.V.
Boluk	Bl.
Brothers	Bros.
College	Coll.
Campagnie	Cie.
Compania	Cia.
Company	Co.
Corporation	Corp.
Departement	Dept.
Department	Dept.
Deparmtentel	Dept.
Departmentet	Dept.
Dipartimento	Dipt.
Divisao	Div.
Division	Div.
Divisione	Div.
Eingetragner Verein	e.V.
Etablissements	Ets.
Gebroeders, Gebrueder	Gebr.
Gesellschaft mit beschaenker Haftung	G.m.b.H.
Incorporated	Inc.
Ingenieur	Ing.
Institut	Inst.
Institute	Inst.
Institute of Technology	Inst. of Tech.
Institutet	Inst.
Instituto	Inst.
Institutt	Inst.
Institutul	Inst.
Instituut	Inst.

Instytut	Inst.
Istituto	Ist.
Kommanditgesellschaft	K.G.
Kommanditselskab	K/S
Laboratoire	Lab.
Laboratoires	Labs.
Laboratoire	Labs.
Laboratorio	Lab.
Laboratorium	Lab.
Laboratory	Lab.
Limited	Ltd.
Maatschappij	Mij.
Manufacturer	Mfr.
Manufacturers	Mfrs.
Manufacturing	Mfg.
Naamloze Vennootschap	N.G.
Offene Handelsgesellschaft	O.H.G.
Professional Corp.	P.C.
Private or (P)	Pvt.
Proprietary	Pty.
Public Limited Co.	PLC
Societa per Azioni	S.p.A.
Societe Anonyme	S.A.
Societe a Responsabilite Limetee	S.R.L.
Spolka	s-ka
Universidad	Univ.
Universidade	Univ.
Universita	Univ.
Universitaet	Univ.
Universitatea	Univ.
Universite	Univ.
Universiteit	Univ.
Universitet	Univ.
Universitetet	Univ.
Universiti	Univ.
University	Univ.
Univerzita	Univ.
Univerzitet	Univ.
Uniwersitet	Univ.
Volkseigner Betribe	VEB.

NOTE: This rule does not restrict the use of abbreviations that occur on the document.

Proofed & Verified: 6 Dec 2001

APPENDIX B

STANDARD U.S. GEOGRAPHIC ABBREVIATIONS

<u>State/Possession</u>	<u>Abbreviation</u>
ALABAMA	AL
ALASKA	AK
AMERICAN SAMOA	AS
ARIZONA	AZ
ARKANSAS	AR
CALIFORNIA	CA
CANAL ZONE	CZ
COLORADO	CO
CONNECTICUT	CT
DELAWARE	DE
DISTRICT OF COLUMBIA	DC
FEDERATED STATES OF MICRONESIA	FM ⁴⁴
FLORIDA	FL
GEORGIA	GA
GUAM	GU ⁴⁵
HAWAII	HI
IDAHO	ID
ILLINOIS	IL
INDIANA	IN
IOWA	IA
KANSAS	KS
KENTUCKY	KY
LOUISIANA	LA
MAINE	ME
MARSHALL ISLANDS	MH ⁴⁶
MARYLAND	MD
MASSACHUSETTS	MA
MICHIGAN	MI
MINNESOTA	MN
MISSISSIPPI	MS
MISSOURI	MO
MONTANA	MT
NEBRASKA	NE
NEVADA	NV
NEW HAMPSHIRE	NH
NEW JERSEY	NJ
NEW MEXICO	NM
NEW YORK	NY
NORTH CAROLINA	NC
NORTH DAKOTA	ND

⁴⁴ Added 25 Apr 2000

⁴⁵ Corrected 25 Apr 2000

⁴⁶ Added 25 Apr 2000

<u>State/Possession</u>	<u>Abbreviation</u>
NORTHERN MARIANA ISLANDS	MP ⁴⁷
OHIO	OH
OKLAHOMA	OK
OREGON	OR
PALAU	PW ⁴⁸
PENNSYLVANIA	PA
PUERTO RICO	PR
RHODE ISLAND	RI
SOUTH CAROLINA	SC
SOUTH DAKOTA	SD
TENNESSEE	TN
TEXAS	TX
UTAH	UT
VERMONT	VT
VIRGIN ISLANDS	VI
VIRGINIA	VA
WASHINGTON	WA
WEST VIRGINIA	WV
WISCONSIN	WI
WYOMING	WY
Military "State" ⁴⁹	
Armed Forces Africa	AE
Armed Forces Americas (except Canada)	AA
Armed Forces Canada	AE
Armed Forces Europe	AE
Armed Forces Middle East	AE
Armed Forces Pacific	AP

Proofed & Verified: 6 Dec 2001

⁴⁷ Added 25 Apr 2000

⁴⁸ Added 25 Apr 2000

⁴⁹ Added 25 Apr 2000

APPENDIX C

COUNTRY CODES⁵⁰

Proofed & Verified: 28 Oct 2003

COUNTRY	CODE	COUNTRY	CODE
Algeria	DZ	Iraq	IQ
American Samoa	AS	Ireland	IE
Andorra	AN	Israel	IL
Antarctica	AQ	Italy	IT
Argentina	AR	Jamaica	JM
Australia	AU	Japan	JP
Austria	AT	Kenya	KE
Bahamas	BS	Korea (North)	KR
Bahrain	BH	Lebanon	LB
Barbados	BB	Lesotho	LS
Belgium	BE	Luxembourg	LU
Bermuda	BM	Malaysia	MY
Bolivia	BO	Malta	MT
Brazil	BR	Mexico	MX
Bulgaria	BG	Monaco	MC
Canada	CA	Netherlands	NL ⁵¹
Canal Zone	CZ	New Caledonia	NC
Central African Republic	CF	New Zealand	NZ
Chile	CL	Nigeria	NG
China (Republic: 1949-)	CN	Norway	NO
Colombia	CO	Pakistan	PK
Congo (Brazzaville)	CG	Panama	PA
Costa Rica	CR	Peru	PE
Czech Republic	CS	Philippines	PH
Denmark	DK	Poland	PL
Ecuador	EC	Portugal; [Portuguese Timor]	PT
Egypt	EG	Puerto Rico	PR
Ethiopia	ET	Qatar	QA
Finland	FI	Romania	RO
France	FR	Saudi Arabia	SA
Georgia	GA	Senegal	SN
Germany	DE	Singapore	SG
Germany (East)	DD	South Africa	ZA
Ghana	GH	Spain	ES
Greece	GR	Sweden	SE
Greenland	GL	Switzerland	CH
Guam	GA	Taiwan	TW
Guatemala	GT	Thailand	TH
Haiti	HT	Trust Territory (Pacific Islands)	TT
Hong Kong	HK	Turkey	TR
Hungary	HU	Uganda	UG
Iceland	IS	United Kingdom	GB
India	IN	Uruguay	UY
Indonesia	ID	Virgin Islands (United States)	VI

⁵⁰ From: ISO 3166, <http://www.nw.com/zone/iso-country-codes>

⁵¹ 28 October 2003 - Added

COUNTRY
Iran

CODE
IR

COUNTRY
Zaire

CODE
ZR

APPENDIX D

VERBALIZING FOR MACHINABILITY

The following symbols may be used in abstracts, annotations and titles:

. , ; ' / * \$ % () - + = < > & ?

The following symbols may be used in indexing terms:

/ () -

ACCENTS/DIACRITICAL MARKS

Omit except in the following cases:

\ddot{a} is replaced by ae
 \ddot{o} is replaced by oe
 \ddot{u} is replaced by ue
 \emptyset is replaced by oe

} Germanic languages

ANGSTROM UNITS (Å)

Use A

CHEMICALS

H₂SO₄ use H2S04

→ use yields

See also PRIMES, SUBSCRIPTS, SUPERSCRIPTS

CUBIC

cm³ use cu cm or cc

ft³ use cu ft

m³ use cu m

$\frac{1}{x^3}$

or use 1/(x cubed)

x⁻³

See also EXPONENTS

DEGREES

Angles: 60°30'15" use 60 deg 30 min 15 sec

Latitude/Longitude: Add N, S, E, or W at end of expression.

60°30'15"N use 60 deg 30 min 15 sec N

Temperautre: 60° C use 60 deg C

60° F use 60 deg F

60° K use 60 deg K

DIACRITICAL MARKS

See ACCENTS/DIACRITICAL MARKS

EXPONENTS

x⁽ⁿ⁻¹⁾ use x (expn n-1)

ft sec⁻¹ use ft/sec

When the exponent is less than 7 and has

the base 10, write out the number; e.g.,

10² use 100

10⁻⁴ use 0.0001

2.75 x 10⁻³ use 0.00275

When the base is 10 and the exponent is 7

or more, write out; e.g.,

10⁷ use 10 (exp 7)

10⁻⁹ use 10 (exp -9)

See also CUBIC, SQUARE, SUPERSCRIPTS

FRACTIONS

Use the slash (virgule) for the fraction bar; e.g.,

$x = \frac{a-b}{c}$ use x=(a-b)/c

$x = a - \frac{b}{c}$ use x=a - (b/c)

GREATER THAN OR EQUAL TO (≥)

Use > or =

LESS THAN OR EQUAL TO (≤)

Use < or =

GREEK LETTERS

Use their names; e.g.,

α use alpha

β use beta

μ use mu, micro, or micron as applicable

π use pi

See also SPECIAL SYMBOLS

ITALICS

Do not use; see also UNDERSCORING

LOGARITHMS

log₁₀ use log

log_e use ln (alpha "l" not digit "1")

MICRO- or MICROMICRO-

μ l use microliters

μ s use microsecs

μ v use microvolts

μ μ f use micromicofarads or picofarads

μ ω use microwatt(s)

MICRONS

m v use millimicron(s)

μ m use micrometers(s) or micron(s)

μ μ use micromicron(s) or picometer(s)

PLUS OR MINUS (±)

Use + or -

PRIMES (')

Use repeating apostrophe

2,2',2'' -terpyridyl use 2,2',2'' -terpyridyl

a''' (a triple prime) use a''''

VERBALIZING FOR MACHINABILITY (continued)

QUOTATION MARKS (")

Use the apostrophe or single quote only.

Where quotation marks are conventionally used as a symbol, abbreviate; e.g.,

12" use 12 in.

5"/54 cal guns use 5-in./54-cal guns

45" use 45 sec

See also DEGREES, PRIMES

SPECIAL SYMBOLS

\approx use approx. =

\rightarrow $\left\{ \begin{array}{l} \text{use yields (chemistry)} \\ \text{use approaches limit of (mathematics)} \end{array} \right.$

\rightarrow
K use K

use number

∞ use infinity

λ $\left\{ \begin{array}{l} \text{use wavelength (electronics and physics)} \\ \text{use lambda (all other)} \end{array} \right.$

Ω $\left\{ \begin{array}{l} \text{use ohms (electricity and electronics)} \\ \text{use omega (all other)} \end{array} \right.$

ϕ $\left\{ \begin{array}{l} \text{use phase (electricity and electronics)} \\ \text{use phi (all other)} \end{array} \right.$

Similarly, spell out or show by acceptable alphanumeric characters increment, varies as, therefore, differential of, variation of, integral, sum, benzene ring, thunderstorm, male, female, fixed star, etc.

SQUARE

cm² use sq cm

ft² use sq ft

m² use sq m

$\left. \begin{array}{l} \frac{1}{x^2} \\ x^{-2} \end{array} \right\} \text{ use } 1/(x \text{ squared})$

See also EXPONENTS

SQUARE ROOT

$\left. \begin{array}{l} \sqrt{a-b} \\ (a-b)^{1/2} \end{array} \right\} \text{ use square root of (a-b)}$

SUBSCRIPTS

P_H use P and H

V₂ use V sub 2

B₅ use B (omit the 5, which is the atomic number of boron)

C₁₄ use C14 if it is the isotope of carbon

See also CHEMICALS, SUPERSCRIPTS

SUPERSCRIPTS

C use C14

H⁺ use H (+)

SO₄⁻ use SO4 (-)

V⁵⁺ use V (5+)

U²³⁴ use U234

B¹⁰ use B10

O^{18(p,n)} N¹⁵ use O18(p,n)N15

d₂₃²⁵ use density at 23 deg F referred to water at 25 deg F

n_D²⁰ use index of refraction for 20 deg F and sodium light

See also CUBIC, EXPONENTS, SQUARE

UMLAUT see ACCENT

UNDERSCORING

Do not use underscoring

Escherichia coli use Escherichia coli

quasar use quasar

APPENDIX E

EXAMPLES OF PHRASES USED IN FIELD 9

Annual rept. no. 4⁵²

Annual rept. no. 4, 1 Jan-31 Dec 1987

Briefing charts⁵³

Conference paper⁵⁴

Congressional testimony⁵⁵

Contract rept.

Decision sheet (used for NATO items)⁵⁶

Deutsche Luft-und Raumfahrt Forschungsbericht

Deutsche Luft-und Raumfahrt Mitteilung

Doctoral thesis

Final engineering rept. for 1986

Final progress rept. no. 12

Final rept. for FY1982

Final rept. no. 5⁵⁷

Final rept. (2nd edition)⁵⁸

Final technical rept. 24 Feb 1982-1983 Feb 1984, on phase 2

⁵² Added 7 Feb 2001, replaces Rept. no. 4 (Annual)

⁵³ Added 7 Feb 2001, replaces Viewgraphs

⁵⁴ Added 7 Feb 2001

⁵⁵ Added 14 Nov 2001

⁵⁶ Added 7 Feb 2001

⁵⁷ Added 7 Feb 2001, replaces Rept. no. 5 (Final)

⁵⁸ Added 7 Feb 2001, replaces 2nd edition (Final)

Group study project
Journal article⁵⁹
Master's thesis
Memorandum rept.
Note (used for NATO items)
Notice (used for NATO items)
Quarterly progress rept. no. 4, 1 Mar-31 May 1976
Rept. bibliography
Rept. for 10 May-22 Jun 1988
Research memo.
Research note for period ending 12 Jan 1987
Research paper
Research rept.
Research study
2nd edition
Security classification guide⁶⁰
Software (used on magnetic tapes)
Special publication
Special rept.
Specification rept.
Technical document
Technical rept.⁶¹

⁵⁹ Added 7 Feb 2001

⁶⁰ Added 15 October 2003

⁶¹ Added 7 Feb 2001

Technical memo.

Technical operating rept. for Jan 1971

Technical publication

Revised: 3 March 2004

APPENDIX F

TREATMENT OF SURNAMES WITH SEPARATELY WRITTEN PREFIXES

(Authority: Anglo-American Cataloging Rules)

A' or A	Write directly:	A'Beckett, G. A. A Prato, G.
Abu	Write directly:	Abu Zarah, M.
Af	Write after name:	Hallstrom, G. J. af
Al	Write directly:	Al Amrusi, A.
Am	Write directly:	Am Thun, A.
Ap	Write directly:	Ap Rhys Price, H. E.
D'	Write directly:	D'Anvers, K. D'Arienzo, N.
	<u>Except</u> French:	Aubigne, A. D.
Da	Write directly:	Da Ponte, L.
	<u>Except</u> Portuguese:	Fonseca, M. A. da
Das	Write after name, except:	Das Gupta, R. K
De	Write directly for: English German Italian	De Morgan, A. De Boor, H. O. De Amicis, P. M.
De	Write after name for: French Belgian Spanish Dutch Portuguese	Musset, A. de Winter, K. de Figuerola, F. de Avila Pires, C. de Sousa, A. de
De La	Write directly for: English, Scandinavian languages	De La Mare, W. De la Gardie, M. G.

	Write under La for French:	La Fontaine, J. de
	Write after name for: Dutch Spanish	Faille, J. B. de la Cosa, J. de la
De Las	Write after name:	Casa, B. de las
Del	Write directly for: Italian	Del Lungo, I.
	Write after name for: Spanish	Rio, A. del
Della	Write directly:	Della Volpaia, E.
Den	Write after name:	Hertog, A. den
Des	Write directly:	Des Granges, C.
Di	Write directly:	Di Costanzo, A.
Dos	Write after name:	Santos, J. A. dos
Du	Write directly:	Du Meril, E. Du Maurier, D. Du Bois-Reymon, E.
El-	Write directly for: English	El-Askil, M. M.
Fitz-	Write directly:	Fitz-Geffrey, C.
Hadzi	Write directly when written with hyphen:	Hadzi-Vasilevic, J.
	Write after name when no hyphen is used:	Dimov, D. Hadzi
Ibn	Write directly:	Ibn Al-Sherif, M.

La	Write directly:	La Bruyere, R. La Cour, J. L.
Las	Write directly:	Las Heras, M. A.
Le	Write directly:	Le Sage, A. Le Gallienne, R.
	<u>Except</u> Dutch:	Long, I. le
Li	Write directly:	Li Greci, G.
Lo	Write directly:	Lo Savio, N.
Pop	Write after name:	Dimitrov, E. Pop
Pop De	Write directly:	Pop De Basesti, G.
Popa	Write directly:	Popa-Lisseanu, G.
Ten	Write after name for Dutch:	Brink, J. ten
	Write directly for German:	Ten Bruggencate, P.
Ter	Write after name:	Braak, M. ter
Van	Write directly for English:	Van Buren, M.
	Write after name for Dutch:	Driessche, A. van
Van Den	Write after name:	Wijngaert, F. van den
Van Der	Write after name:	Aa, P. van der
Van't	Write after name:	Hoff, J. van't
Ver	Write directly:	Ver Boven , D.
Vom	Write directly:	Vom Ende, E.

Von	Write directly in English:	Von Gergen, W.
	Write after name in: German, Scandinavian languages	Goethe, W. von Linne, C. von
Von Der	Write after name:	Hagen, J. von der
Von Le	Write under Le:	Le Fort, G. von
Z	Write after name:	Zerotina, Y, Z.
zum	Write directly:	Zum Busch, J. P.
Zur	Write directly:	Zur Linde, O.

Revised: 28 October 2003

APPENDIX G

MONTHS OF THE YEAR - FOREIGN LANGUAGE TRANSLATIONS

ENGLISH	FRENCH	GERMAN	ITALIAN	SPANISH
January	Janvier	Januar	Gennaio	Enero
February	Fevrier	Februar	Febbraio	Febrero
March	Mars	Maerz	Marzo	Marzo
April	Avril	April	Aprile	Abril
May	Mai	Mai	Maggio	Mayo
June	Juin	Juni	Giugno	Junio
July	Juillet	Juli	Luglio	Julio
August	Aout	August	Agosto	Agosto
September	Septembre	September	Settembre	Septiembre
October	Octobre	Oktober	Ottobre	Octubre
November	Novembre	November	Novembre	Noviembre
December	Decembre	Dezember	Dicembre	Diciembre
		Jahrbuch (annual or yearbook)		

Proofed & Verified: 6 Dec 2001

APPENDIX H

TRANSLITERATION OF FOREIGN ALPHABETS

GREEK

RUSSIAN

GERMAN

Α α Alpha (ä)	А а (ä)	А а (ä)
Β β Beta (b)	Б б (b)	Ä ä (e) 5
Γ γ Gamma (g)	В в (v)	В в (b)
Δ δ Delta (d)	Г г (g)	С с (k, ts, s)
Ε ε Epsilon (e)	Д д (d)	Сh ch (H, kh)
Ζ ζ Zeta (z)	Е е (ye)	Д д (d)
Η η Eta (ä)	Ж ж (zh)	Е е (e, ä)
Θ θ Theta (th)	З з (z)	Ф ф (f) -
Ι ι Iota (i)	И и (i, e)	Г г (g, kh)
Κ κ Kappa (k)	Й й (e) 7	Ф ф (b)
Λ λ Lambda (l)	К к (k)	З з (i, e)
Μ μ Mu (m)	Л л (l)	З з (y)
Ν ν Nu (n)	М м (m)	Ж ж (k)
Ξ ξ Xi (ks)	Н н (n)	Ζ ζ (i)
Ο ο Omicron (o)	Ο ο (ö, o)	Α α (ä)
Π π Pi (p)	Π π (p)	Β β (m)
Ρ ρ Rho (r)	Ρ ρ (r)	Ν н (n)
Σ σ ς Sigma (s) 6	С с (s)	Ο ο (ö, ö)
Τ τ Tau (t)	Т т (t)	Ö ö (ö) 5
Υ υ Upsilon (ü, öö)	У у (öö)	Ф ф (p)
Φ φ Phi (f)	Ф ф (f)	Ω (u) q(u) (kv)
Χ χ Chi (H)	Х х (kb)	Н н (r)
Ψ ψ Psi (ps)	Ц ц (ts)	С с (s, z) 6
Ω ω Omega (ö)	Ч ч (ch)	Сh ch (sh)
	Ш ш (sh)	Т т (t)
	Щ щ (shch)	U u (öö)
	Ъ ъ 8	Ü ü (ü) 5
	Ы ы (e)	В в (f)
	Ь ь 9	В в (v)
	Э э (e)	Ж ж (ka)
	Ю ю (ü)	Ф ф (e, ü)
	Я я (yä)	З з (ts)

APPENDIX I

FOREIGN LANGUAGE ACCENTS/DIACRITICAL MARKS
AND THEIR ENGLISH LANGUAGE SUBSTITUTIONS

	ä	æ	ö	ø	ü	ß
DANISH		x		x		
FINNISH	x		x			
GERMAN	x		x		x	
NORWEGIAN		x		x		
SWEDISH	x		x			
USE	ae	ae	oe	oe	ue	SS

Proofed & Verified: 6 Dec 2001

APPENDIX J

ABBREVIATIONS COMMONLY USED AS PART THE REPORT NUMBER IN FIELDS 14, 18, 19 and 21

Administrative note	ADN-
Administrative report	ADR-
Bibliography	BIB-
Bulletin	BULL-
Circular	CIRC-
Conference	CONF-
Conference proceedings	CP-
Contract report	CR-
Contract technical report	CTR-
Contribution	CONTRIB-
Data files	DF-
Data memo	DM-
Data report	DR-
Department of Defense directives	DoDD- ⁶²
Department of Defense instructions	DoDI- ⁶³
Draft environment statement	DES-
Engineering report	ER-
Environmental impact statement	EIS-
Environmental research papers	ERP-
Final report	FR-
Handbook	HB-
Information bulletin	IB-
Information circular	IC-
Instrumentation papers	IP-
Interim report	IR-
Journal article	JA-
Lecture series	LS-
Letter circular	LC-
Magnetic tape	MT-
Manuscript	MS-
Memo	M-
Memo report	MR-
Military standard	MIL-STD- ⁶⁴
Mimeograph series	MM-
Miscellaneous	MISC-

⁶² Added 7 Feb 2001

⁶³ Added 7 Feb 2001

⁶⁴ Added 7 Feb 2001

Miscellaneous paper	MP-
Miscellaneous publication	MPUB-
Mission need statement	MSN- ⁶⁵
Monograph	MONO-
Monograph series	MONO SER-
Occasional paper	OP-
Open file report	OFR-
Operational requirements document	ORD- ⁶⁶
Pamphlet	PAM-
Patent application	PAT-APPL-
Proceedings	PROC-
Professional paper	PP-
Progress report	PR-
Publication	PUB-
Quarterly report	QR-
Reference	REF-
Report of investigations	RI-
Research & development	R/D-
Research bulletin	RB-
Research contribution	RC-
Research memo	RM-
Research note	RN-
Research paper	RP-
Research report	RR-
Sea Grant	SG-
Sea Grant publication	SGP-
Sea Grant reprint	SGR-
Sea Grant Technical bulletin	SGTB-
Series	SER-
Special publication	SP-
Special report	SR-
Special research memo	SRM-
Special research report	SRR-
Special study	SS-
Special text	ST-
Specification	SPEC-
Technical article	TA-
Technical bulletin	TB-
Technical document	TD-
Technical documentary report	TDR-
Technical memo	TM-
Technical memo report	TMR-
Technical news bulletin	TNB-

⁶⁵ Added 7 Feb 2001

⁶⁶ Added 7 Feb 2001

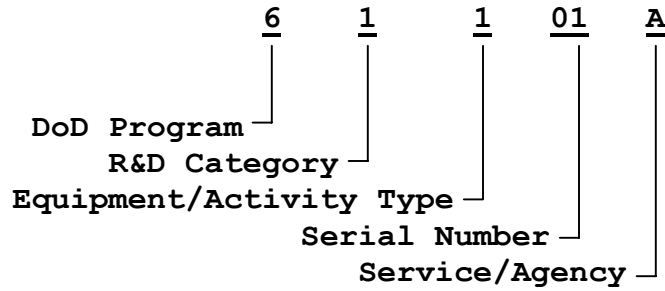
Technical note	TN-
Technical progress report	TPR-
Technical publication	TP-
Technical report	TR-
Technical research note	TRN-
Technical summary	TS-
Technical summary report	TSR-
Technical translation	TT-
Test and evaluation report	T/ER-
Translation	TRANS-
Working paper	WP-

Revised: 24 November 2003

APPENDIX K

DOD PROGRAM ELEMENT CODING SYSTEM

Five Components make up a Program Element Number-



	<u>6</u>	<u>1</u>	<u>1</u>	<u>01</u>	<u>A</u>
DoD Program	└─				

<u>Program Number</u>	<u>Title</u>
1	Strategic Programs
2	Tactical Programs
3	Intelligence and Communications
4	Airlift and Sealift
5	Guard and Reserve
6	Research and Development
7	Central Supply and Maintenance
8	Training, Medical, and Other General Personnel Activities
9	Administration and Associated Activities
0	Support of other Nations

APPENDIX K

6 1 1 01 A

	R&D Category	└	
<u>Category Number</u>			<u>Title</u>
1			Research
2			Exploratory Development
3			Advanced Development
4			Engineering Development
5			Management Support
6			Operational Systems Development

6 1 1 01 A

	Equipment Activity Type	└	
<u>Type Number</u>			<u>Title</u>
1			Military Sciences
2			Aircraft and Related Equipment
3			Missiles and Related Equipment
4			Military Astronautics and Related
			Equipment
5			Ships, Small Craft, and Related
			Equipment
6			Ordnance, Combat Vehicles, and
			Related Equipment
7			Other Equipment
8			Defensewide Management Support

6 1 1 01 A

Serial Number

Assigned by the individual Service/Agency.

APPENDIX K

CATEGORY 6.1 (RESEARCH PROGRAM ELEMENTS)

<u>Program Element Title</u>	<u>Program Element Number</u>
In-House Laboratory Independent Research	61101A (ARMY)
	61152N (NAVY)
	61101F (AIR FORCE)
Defense Research Sciences	61102A (ARMY)
	61153N (NAVY)
	61102F (AIR FORCE)
University Research Initiatives	61103A (ARMY)
	61103N (NAVY)
	61103F (AIR FORCE)

Program Element - IN-HOUSE LABORATORY INDEPENDENT RESEARCH

<u>PE Number</u>	<u>Project Number</u>	<u>Title</u>
<u>61101A</u>	A91A	Army Materiel Command
	A91B	Army Research Institute for the Behavioral and Social Sciences
	A91C	Medical Research and Development Command
	A91D	Corps of Engineers
<u>61152N</u>	MR0001	Navy Medical Laboratories
	RR0001	Other Navy Research Laboratories
	ZR0001	Laboratories of ONL
<u>61101F</u>	-	-

APPENDIX K

CATEGORY 6.1 (RESEARCH PROGRAM ELEMENTS) (continued)

6 1 1 01 A

Service/Agency └

Service/Agency Code

Name

A	Department of the Army
B	Defense Mapping Agency
C	Strategic Defense Initiative Organization
D	Department of Defense (OSD, OUSD, OASD)
E	Defense Advanced Research Projects Agency
F	Department of the Air Force
G	National Security Agency
H	Defense Nuclear Agency
I	Defense Reconnaissance Support Activities
J	Joint Chiefs of Staff
K	Defense Communications Agency
L	Defense Intelligence Agency
M	United States Marine Corps
N	Department of the Navy
Q	Joint Tactical C3 Agency
S	Defense Logistics Agency
T	DOD Test and Evaluation
W	Uniformed Services University of the Health Sciences

APPENDIX K (continued)

Program Element - DEFENSE RESEARCH SCIENCES

<u>PE Number</u>	<u>Project Number</u>	<u>Title</u>
61102A	A31B	Night Vision and Electrooptics Research
	B52C	Research in Geodetic, Geographic, and Mapping Sciences
	B53A	Research in Atmospheric Sciences
	A71A	Research in Chemical/Biological Warfare Defense
	B74A	Research in Human Engineering
	B74F	Personnel, Performance, and Training
	AF22	Research in Vehicular Mobility
	AH40	Signals Warfare Research
	AH42	Research in Materials and Mechanics
	AH43	Research in Ballistics
	AH44	Research in Electronics, Sensors, and Signal Processing
	AH45	Air Mobility Research
	AH46	Research in Combat Surveillance and Target Acquisition
	AH47	Electronic Devices Research
	AH48	Communications Research
	AH49	Research in Missiles and High-Energy Lasers
	AH51	Combat Support Research
	AH52	Support of Equipment for Individual Soldier
	BH57	Research in Scientific Problems with Military Applications
	AH60	Research in Large Caliber Armaments
	AH61	Research in Fire Control and Small Caliber Armaments
	AH63	Research in Electronic Warfare
	AH68	Research in Pollution Abatement
	BS04	Identification and Health Effects of Military Pollutants
BS10	Research on Military Diseases, Injury, and Health Hazards	
BS11	Chemical Warfare Effects and Antidotes	
BS12	Science Base for Medical Defense Against Biological Warfare	
AT22	Research in Soil and Rock Mechanics	
AT23	Basic Research in Military Construction	
AT24	Research in Snow, Ice, and Frozen Ground	

APPENDIX K (continued)

Program Element - DEFENSE RESEARCH SCIENCES (continued)

<u>PE Number</u>	<u>Project Number</u>	<u>Title</u>
61153N	11	General Physics
	12	Radiation Sciences
	13	Chemistry
	14	Mathematics
	15	Computer Sciences
	21	Electronics
	22	Materials
	23	Mechanics
	24	Energy Conversion
	31	Ocean Sciences
	32	Ocean Geophysics
	33	Atmospheric Sciences
	34	Astronomy and Astrophysics
	41	Biological and Medical Sciences
	42	Behavioral Sciences
	51	University Research Instrumentation
	52	Multidisciplinary Support
61102F	2301	Physics
	2302	Structures
	2303	Chemistry
	2304	Mathematics
	2305	Electronics
	2306	Materials
	2307	Fluid Mechanics
	2308	Energy Conversion
	2309	Terrestrial Sciences
	2310	Atmospheric Sciences
	2311	Astronomy and Astrophysics
	2312	Biological and Medical Sciences
	2313	Human Resources
	2917	University Research Instrumentation

Program Element - UNIVERSITY RESEARCH INITIATIVES

61103A	D75A	University Science and Engineering Research
61103N	----	----
61103F	----	----

Revised: 24 November 2003

APPENDIX L

RDT&E PROJECT DATA

<u>Military</u> <u>P.E</u>	<u>Project</u>	<u>Task</u>	<u>Work Unit</u>	<u>*Army</u> <u>Serial</u> <u>Number</u>
<u>Air Force</u>				
61101F	ILIR	5H	WUAFGLILIR5H01	
64212F	2228	00	WUAFFDL22280002	
63743F	431G	01	WUAFAL431G0163	
<u>Army</u>				
61102A	1D161102B710	00	WU425	AS710
63702A	IF763702D610	01	WU192	AS610
62720A	IT762720D048	02	WU025	AS048
<u>Navy</u>				
62711N	F11121	RF11121806	WUNR004105	
61153N	RR01108	RR0110801	WUFP61	
63257N	ZPN07	ZPN07	WU4753P2	
<u>DNA</u>				
PE62715H	X99QAXV	X000	WU08	
PE62715H	N99QMXA	K000	WU24	
PE62715H	A99QMXF	B000	WU21	

* The Army Serial number consists of the last three characters of an Army project number, and is preceded by the letters AS. It is unique to the Army.

Revised: 24 November 2003

APPENDIX M

EXAMPLE OF RDT&E PROJECT DATA

DATA	AIR FORCE	ARMY	NAVY 6.1 R	NAVY 6.2 F	NAVY 6.3-6.6	DNA
project number example	4 characters: numeric and alphanumeric. 3048 06CL	12 characters: alphanumeric. 1T161101A91A SX762725DY10	7 characters: 1 alphaprefix, R, 5 numerics. WRO3302	6 characters: (no alphaprefix) F, 5 numerics. F32344	5/7 characters: 1 alpha prefix, 4 numerics or alphanumerics . 2 alpha S & T category (when displayed). SSH55 T4112 W0614SL	7 characters: 1 alpha prefix, 2 numerics, 4 alphas. X99QAXV H42AAXY N99QAXA
task number (area) example	2 characters: separated, numeric or alphanumeric. 05 6B	2 characters: separated, numeric or alphanumeric, although sometimes an alpha displaces a number in the task area. 00 06	9 characters: project number + 2 added on. WRO330201	10 characters: 1 alpha prefix, project number, 3 numerics added on (task area may not apply). RF32344401	5 characters: + repetitive entry or 2-4 characters added. T4112 T4112003 SSH550000 W0614SL W0614SL000	4 characters: 1 alpha, 3 numerics. X000 A128 X960
work unit example	11-13 characters: vary according to prefixed acronym: acronym 4-5 chars; proj. no. 4 chars; task no. 2 chars; work unit 2 chars. AFAPL30480105 AFAL06CL6811 AFOSR976905 (no wu per se)	3 characters: separated, numerics. 001 032	to 15 characters: individual organization assigned, separate, alphanumerics. The number indicated; e.g., A37370005UD24, NR213142, DF6269, M115, 180600801, JP61, D0103101, 139070, ETC., ETC.	same	same	2 characters: 2 numerics. 08 14 48

(RDT&E Project Data Differences by Service based on service entry into the Research Summaries Database and as entered into the TR system beginning TAB 77-1/GRA 77-2.)

*Other DoD components vary from this example and are seldom seen in DTIC processing. For variations consult local authority.

Revised: 24 November 2003

APPENDIX N
HISTORIC COST ALLOCATION CODES FOR SERVICE LEVEL SPONSORS
NO LONGER USED IN FIELD 18⁶⁷

XE	MATRIS (OSD Program Office)
XI	DIA (Defense Intelligence Agency)
XK	DISA (Defense Information Systems Agency) formerly DCA
XL	USUHS (Uniformed Services Univ of the Health Sciences)
XN	DMA (Defense Mapping Agency)
XO	SDIO (Strategic Defense Initiative Organization)
XP	JCS (Joint Chiefs of Staff)
XQ	DFAS (Defense Finance & Accounting Service) & DoD
XR	URS (University Research Support) & (OSD Program Office)
XS	Reserved
XT	ARPA (Advanced Research Projects Agency)
XU	SBIR (Small Business Innovation Research) & (OSD Program Office)
XV	DNA (Defense Nuclear Agency)
XW	DLA and DCMC (Defense Logistics Agency & Defense Contract Mgt Cmd)
XZ	HBCU (Historically Black Colleges & Univ) (OUSD(A))
X1	Legislative Branch of Government (Incl GAO & Congress) LEGIS BRH
X2	NTIS (National Technical Information Service)
X3	DoJ (Department of Justice)
X4	FEMA (Federal Emergency Management Agency)
X6	IR&D (Independent Research & Development) (OUSD(A))
X7	Corporate Information Management (CIM) Program
X8	CHAMPUS - Special
X9	Reserved
X0	Contractor (For CSAS only)

Revised: 24 November 2003

⁶⁷ 25 June 2001- these Codes became obsolete.

APPENDIX O

INFORMATION USED IN FIELD 21⁶⁸

Abstracts only

Briefing charts only

Bound with its

Complement to Rept. no..... dated 7 Jun 82, AD-AO95 000

Contains (insert number) microfiche inserts

Doctoral thesis (when not used in Field 9)

Errata sheet inserted. (if undated)

Includes errata sheet dated

Includes envelope with

(insert the number of charts, overlays, maps, graphs
or other items contained in the envelopes)

Master's thesis (when not used in Field 9)

Presented at Conference on

Previously announced as

Testimony before the⁶⁹

Statements Used for Translations

Trans. of...

Technical trans. of Geodezia es Kartografia (Hungary),
v37 n2 p94- 100, 1985.

Technical trans. of Zeitschrift fuer Vermessungswesen
(Germany, F.R.) v110 n5 p207-209, 1985, by Thomas F.
Tolle.

⁶⁸ 10 Sep 2003 - removed "View-graphics only"

⁶⁹ 14 Nov 2001 - added (GAO Testomonies)

Trans. of Chinese language journal article.

Translation of Chinese language patent.

Trans. of Marine-Rundschau (Germany, F.R.) n2 p91-96,
1987, by K. Watts.

Trans. of mono. from Defense Industries Publishing Co.
(China), p264, Feb 1985.

Unedited machine trans. of Khimicheskaya Fizika (USSR) n8
p1129-1133, Aug 1983.

Unedited trans. of report from High Temperature Inst.,
Academy of Sciences (USSR), p59, 1983.

Other translation examples

Edited trans. of Patent (German D.R.) 138 447 pl-10, 31
Oct 1979, by Roger T. Crozier.

Edited trans. of Patent (USSR), 390 315 pl-3, 11 Jul
1973.

Partially edited machine trans. of mono. Iz Istorii
Sovetskoy Aviatsii, Mashinos-troyeniye, Moscow, pl-263,
1985.

Partially edited machine trans. of mono. Pravila
Ustroystva Elektroustanovok, Moscow, 5th. ed., sect 4 pl-
96, 1978.

Partially edited machine trans. of unidentified Russian
language article, n.d.

Unedited trans. of Patent (Netherlands) 8014114 4p., 5
Apr 1983.

Unedited trans. of unidentified Russian language mono.,
p176-180.

(If place and date are unknown, use n.p., n.d.)

Revised: 3 December 2003

APPENDIX P

HISTORIC DISTRIBUTION/AVAILABILITY CODES FROM 1994 CATALOGING GUIDELINES

<u>Numeric Code</u>	<u>Distribution / Availability Statements</u>	<u>Meaning</u>
(Field 33 entry)	(Field 22 entry)	
1	No Entry.	These documents are unclassified and have been approved for public release and sale. They may be from DoD or non-DoD sources.
2	Distribution authorized to U.S. Govt. agencies and their contractors; (reason____; date____). Other requests shall be referred to (____).	Unclassified documents: Transmittal of these documents outside U.S. Government agencies and their domestic contractors must have prior approval of controlling DoD office. TTCP documents receive this code. Classified documents: In addition to security requirements that apply to these documents and must be met, transmittals outside of U.S. Government agencies must have prior approval of controlling DoD office.
3	Distribution authorized to U.S. Govt. agencies only; reason____; date____). Other requests	Unclassified documents: Transmittals of documents outside U.S. Government agencies must have prior

<u>Numeric Code</u>	<u>Distribution / Availability Statements</u>	<u>Meaning</u>
(Field 33 entry)	(Field 22 entry) shall be referred to (____).	approval of controlling DoD office. Classified documents: In addition to security requirements, which apply to these documents and must be met, transmittals outside of U.S. Government agencies must have prior approval of controlling DoD office.
4	Distribution authorized to DoD only; (reason____; date____). Other requests shall be referred to (____).	Unclassified documents: Transmittals of documents outside U.S. Government agencies must have prior approval of controlling DoD office. Classified documents: In addition to security requirements that apply to these documents and must be met, transmittals outside of U.S. Government agencies must have prior approval of controlling DoD office.
4 ⁷⁰	Distribution authorized to DoD only. Other requests shall be referred to (____).	Unclassified and classified security classification guides do not require a reason and date.
5 ⁷¹	Distribution: Controlled: All request to (____).	Unclassified documents: These documents may be further distributed by

⁷⁰ 1999 - dropped.

⁷¹ 1999 - dropped.

<u>Numeric Code</u>	<u>Distribution / Availability Statements</u>	<u>Meaning</u>
(Field 33 entry)	(Field 22 entry)	any holder <u>only</u> with specific prior approval of controlling DoD office.
		Classified documents: In addition to security requirements which apply to these documents and must be met, they may be further distributed by the holder <u>only</u> with specific prior approval of controlling DoD office.
5	Distribution: Further dissemination only as directed by (controlling DoD office and date) or higher DoD authority.	Normally, used only on classified documents, but may be used on unclassified documents when specific authority exists.
		May be used on classified documents if DoD originator determines that information is subject to special dissemination limitations of DoD 5200.1-R, 4-505.
7	Distribution authorized to U.S. Govt. Agencies and private individuals or enterprises eligible to obtain export-controlled technical data in accordance with DoD 5230.25 (date). Controlling DoD office is _____.	Used on unclassified documents that are only released to U.S. Government organizations and contractors who have a current DD Form 2345, Military Critical Technical Data Agreement, on file with the Defense Logistics Services

<u>Numeric Code</u>	<u>Distribution / Availability Statements</u>	<u>Meaning</u>
(Field 33 entry)	(Field 22 entry)	Center. Code 7 cannot be used without the addition of secondary distribution Code 57 in Field 33. Code 57 is used on documents dated <u>after 6 May 1985</u> .
9 ⁷²	(Enter the controlling DoD organization and address).	Code 9 is used on classified documents that are dated 18 Mar 1987 or earlier when there is no distribution statement. Field 22 should indicate the controlling DoD organization. Classified documents dated after 18 Mar 1987 cannot use Code 9.
12 ⁷³	Distribution: DTIC users only.	The document is released only to DTIC users and is not subject to DoD distribution regulations.
13 ⁷⁴	Distribution authorized to U.S. Gov't. Agencies only; (reason if given); (date if given). Other requests shall be referred to (____).	Each transmittal outside U.S. Government agencies shall have prior approval of non-DoD controlling office.
14 ⁷⁵	Distribution authorized to DoD only. Other requests shall be referred to (____).	Each transmittal outside the Department of Defense shall have prior approval of non-DoD and Foreign controlling office.

⁷² AUGUST 2001 - no longer used for currently ingested items; used only for backfile conversions.

⁷³ 1999 - dropped.

⁷⁴ 1999 - dropped.

⁷⁵ 1999 - dropped.

<u>Numeric Code</u>	<u>Distribution / Availability Statements</u>	<u>Meaning</u>
(Field 33 entry)	(Field 22 entry)	
15 ⁷⁶	Distribution: Further dissemination only as directed by (non-DoD controlling office).	May be further distributed by the holder only with the specific prior approval of non-DoD controlling office.
16	Distribution authorized to DoD and DoD contractors only; (reasons ____); (date if given). Other requests shall be referred to (____).	<p>Unclassified documents: Transmittals of these documents outside the Department of Defense and its contractors must have prior approval of controlling office.</p> <p><u>Classified documents:</u> In addition to security requirements that apply to these documents and must be met, transmittals outside the Department of Defense and its contractors must have prior approval of controlling office.</p>
16 ⁷⁷	Distribution authorized to DoD and DoD contractors only; Other requests shall be referred to (____).	This statement may be used on unclassified and classified foreign documents since they do not require a reason and a date.
17 ⁷⁸	No Entry.	Code 17 was used prior to 18 Oct 1983. It means that a limited document (Statement B) has been given a blanket release to DTIC users.

⁷⁶ 1999 - dropped.

⁷⁷ 1999 - dropped.

<u>Numeric Code</u>	<u>Distribution / Availability Statements</u>	<u>Meaning</u>
(Field 33 entry)	(Field 22 entry)	
20	Availability: Pub. In _____ (Complete the journal citation in Field 22). Available only to DTIC users. No copies furnished by NTIS.	Reprint published in copyrighted journal or proceedings. This information is the result of U.S. Government work and not available for copyright protection. Reprint published in copyrighted journal or proceedings. This information is funded by contract and may be reproduced by or for the U.S. Government pursuant to the copyright license under the clause at 52.227-7013.
21	Availability: Pub. In _____ (Complete the journal citation in Field 22). No copies furnished by DTIC/NTIS.	Accessioned for announcement only. Available only from publisher. No copies furnished.
21	Availability: (Publisher's name, City, State, Zip Code.) HC or PC price. No copies furnished by DTIC.	Available from originator.
21	Availability: This Government-owned invention available for U.S. licensing and, possibly, for foreign licensing. Copy of patent available from	This statement is used on patents.

⁷⁸ 1999 - dropped.

<u>Numeric Code</u>	<u>Distribution / Availability Statements</u>	<u>Meaning</u>
(Field 33 entry)	(Field 22 entry) Commissioner of Patents, Washington, DC 20231.	
21 ⁷⁹	Availability: National Technical Information Service Springfield, VA 22161 (PC price). No copies furnished by DTIC.	This statement is used on documents available from the National Technical Information Service.
22	Availability: Reference only can be viewed at DTIC.	Most of the document cannot be legibly reproduced. After the supply of original copies is exhausted, the file can be reviewed at DTIC or NTIS.
23	Availability: Document partially illegible.	Portions of the document contain illegible or non-reproducible printing. The document is best quality available from copy furnished to DTIC.
24 ⁸⁰	For A documents enter: Availability: (Distributor, City, State, Zip Code.) HC or PC Price Microfiche furnished to DTIC and NTIS users. Availability: GPO, Supt. of Docs., Washington, DC 20402-9328. Microfiche to NTIS users. Microfiche and HC to DTIC users.	The document is available from the source named on the document.

⁷⁹ 1999 - dropped.

⁸⁰ 1999 - dropped.

<u>Numeric Code</u>	<u>Distribution / Availability Statements</u>	<u>Meaning</u>
(Field 33 entry)	(Field 22 entry) For B and C documents enter: City, State, Zip Code. HC or PC Price. Microfiche furnished to DTIC users.	
25 ⁸¹	Availability: Microfiche copies only.	The document is not available from DTIC in hardcopy.
25 ⁸²	Availability: Microfiche copies only in reduction ratio of (20, 24, 42, or 48) as given on the document).	The document is a blowback copy with microfiche or combination report.
51 ⁸³	No Entry.	Restricted Data. The document is excluded from automatic downgrading and declassification.
52 ⁸⁴	No Entry.	Formerly Restricted Data. The document is excluded from automatic downgrading and declassification.
53 ⁸⁵	No Entry.	NATO documents excluded from automatic downgrading and declassification.
54 ⁸⁶	Distribution statement is input in Field 22 with (LIMDIS).	Code 54 is used on classified documents marked LIMITED DISSEMINATION (LIMDIS).

⁸¹ 1999 - changed wording in test to "Not available in hardcopy."

⁸² 1999 - changed to Code 26, "Not available in microfiche."

⁸³ 1999 - added text to Field 22.

⁸⁴ 1999 - added text to Field 22.

⁸⁵ 1999 - added text to Field 22.

<u>Numeric Code</u>	<u>Distribution / Availability Statements</u>	<u>Meaning</u>
(Field 33 entry)	(Field 22 entry)	
57	This document contains export-controlled technical data.	This statement is to be used on documents subject to export-control laws and <u>dated after 6 May 1985</u> . All documents with distribution statement x should be coded 57 in Field 33 but the statement should not be added to Field 22.

Revised: 24 November 2003

⁸⁶ 1999 - dropped.

APPENDIX Q

HISTORIC SPECIAL INDICATOR CODES FROM 1994 CATALOGING GUIDELINES

<u>Field 31 Code</u>	<u>Was Used For</u>
w ⁸⁷	Code w is no longer used for WNINTEL items that are not CNWDI and are not x-type unannounced items. However, the "w" Indicator Code is currently used for items with intelligence markings where the citation is released to only DoD organizations.
v ⁸⁸	WNINTEL and CNWDI items.
x ⁸⁹	Items that did not appear online or in DTIC bibliographies.
z ⁹⁰	A combination of codes x and y items. It designated a CNWDI item that would not appear online or in DTIC bibliographies.

Revised: 24 November 2003

⁸⁷ Please note that code "w" is currently used for items with intelligence markings where the citation is released to only DoD organizations.

⁸⁸ Prior to 2003 Code "w" was used for items with intelligence markings that were not CNWDI.

⁸⁹ Prior to 2001 x-type unannounced codes were used for citations that were not displayed in the TR database and for items that were not CNWDI.

⁹⁰ Code Z is no longer used. Prior to 2001 it was used for CNWDI items that were x-type unannounced.