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3 March 1949

Memo for Deputy Chief, Army Security Agency

SUBJECT: Return of papers in re Patent Application
Serial No. 443,320.

1. The accompanying file of documents, all in connection with Patent Application Serial No. 443,320, was under study when I went on sick leave last August and it remained in my basket until recently, awaiting attention.

2. In accordance with direction on top routing sheet, I am returning file herewith, having noted its contents carefully.

3. This file was initiated by a formal letter dated 8 Dec 47 from the undersigned to the Director of Intelligence, THRU Chief, Army Security Agency.

4. It is requested that the case be completed by a formal reply addressed to me in response to the letter referred to in Par. 3 above.

William F. Friedman

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CONFIDENTIAL 104718 RESTRICTED

DATE 7 June 47

| TO | FROM | TO | FROM |
|----------------------------|------|-----------------------------|------|
| Chief, ASA..... (10) | | Tech Staff..... (96) | |
| Executive O . . . (11) | | Ch, Security Div..... (80) | |
| Co'r Joint Oper..... (12) | | Tech Staff..... (81) | |
| Deputy Chief, ASA . . (20) | | Ch, Materiel Br. . . . (82) | |
| Ch, Comm Res Sec (14) | | Ch, Methods Br. . . (83) | |
| Ch, Hist Unit.... (13) | | Ch, Protective Br... (84) | |
| Ch, Pers Sec (21) | | Ch, Maint Br. (85) | |
| Ch, Org & Tng Sec . (22) | | Ch, Res Lab Div.... (70) | |
| Ch, Plans & Oper.. (23) | | Tech Staff. (71) | |
| Ch, Materiel Sec . (24) | | Ch, Ch. Ciph & Cif Br (72) | |
| Ch, Fiscal Sec . . . (25) | | Ch, Int Equip Br... (73) | |
| Adjutant, ASA . . . (26) | | Ch, Elec & Elec Br. (74) | |
| Ch, Sec Cont Sec. . (27) | | Ch, Lab Serv Br.... (75) | |
| Ch, Operations Div. (90) | | Ch, C'logic Br..... (76) | |
| Ch, Lab Br. (91) | | Ch, Pers & Tng Br.. (61) | |
| Ch, Machine Br.... (92) | | Ch, Supply Br..... (62) | |
| Ch, Crypt Br..... (93) | | Co, Arlington Hall... (40) | |
| Ch, Int Cont Br . . (94) | | | |
| Ch, I & D Br..... (95) | | | |

- Approval & Return
- As Requested
- Concurrence or Comments
- Information & Forwarding
- Information & Return
- Information & File
- Recommendation
- Signature if approved
- Your action by
- Info upon which to base reply

Forwarded for your information & return

SECRET CONFIDENTIAL RESTRICTED

ASA STAFF
BUCK SLIP

MAY 13 1948

TO DATE FROM

- Deputy Chief
- Executive
- Chief, Communications
- Research
- Historical Unit
- Chief, Personnel Section
- Officer Unit
- Unlisted Unit
- Civilian Unit
- Chief, Plans and Opns.
- Plans and Policies
- Operations
- Intelligence
- Research
- Security
- Administration
- Chief, Sec. Cont. Section
- Chief, Org & Tng Section
- Ass't Chief
- Training Unit
- Organization Unit
- Reserve Affairs Unit
- Publications Unit
- National Guard Unit
- Ext. Training Division
- Officer School Division
- Coordinator of Training
- Chief, Materiel Section
- Chief, Fiscal Section
- Adjutant
- General Files
- Secretariat

- As requested
- Comments and return
- Information and file
- Inf & forwarding
- Information and return
- Recommendation
- See note on reverse
- Signature if approved
- Your action
- See me
- Coordinate with
- Concurrence
- Info on which to base reply
- Prepare reply for sig of
- approval

REF ID: A104716

NS 946581 NS 20 ef

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Chief, Army Security Agency

NS 20

Q

~~SECRET~~

Dink:

Per note (BWB) send
back for file here
MR.

INTELLIGENCE DIVISION
DISPOSITION SLIP

~~SECRET~~

TO: Chief ASA

Concurrence or recommendation

Information on which to base reply

Necessary action

Note and return

Returned

Preparation of reply for signature

of _____

Signature

Your information

Coordinate with _____

File

Dispatch

Distribute

For your records

Previous Papers



This correspondence should be filed in I O Records File when it has served its purpose.

FOR THE DIRECTOR OF INTELLIGENCE:

(Initials and Stamp)

BBB
BRUCE R. BIRWELL

~~SECRET~~

~~SECRET~~

COMMENT No. 5 Cont'd

First indorsement to this memorandum dated 25 April 1936 and signed by William F. Friedman states:

"I hereby accept assignment to work under the conditions set forth in basic communication."

* * * * *

Another memorandum directed to Mr. Friedman dated 1 December 1939, Subject: Secrecy for Certain Patents, states:

"You are hereby assigned to work that may result in improvements in arts of value to the Chief Signal Officer.

"It is possible that this work may result in the discovery of patentable features * * *."

This communication was acknowledged by Mr. Friedman by 1st Indorsement of 4 December 1939, in which Mr. Friedman states:

"I hereby accept assignment to work under the conditions set forth in basic communication."

* * * * *

In view of the above it is the opinion of this office that Mr. Friedman was "specifically directed to experiment with a view to suggesting improvements" and hence does not come within the policy announced in the memorandum of 29 April 1946 for the Chief, Army Security Agency.

3. With regard to the inquiry by Mr. Friedman regarding the service of counsel, contained in paragraph 2.b. of basic communication, this office is of the view that it is highly improbable that Mr. Friedman could secure the service of a private counsel to assist him in his claim without disclosing to the counsel classified matter relating to his patent application. The decision on this point, however, is a matter for determination by the Director of Intelligence in that it is predominantly a security question.

4. With reference to the question of obtaining legal assistance within the Department of the Army to assist Mr. Friedman in prosecuting his claim, attention is called to the provisions of Section 109 of the Criminal Code (18 U.S.C. § 198) which specifically prohibits such action. Section 109 is herein reproduced in its entirety for the information and guidance of those concerned in this matter:

§ 198. (Criminal Code, section 109.) Officers interested in claims against United States. Whoever, being an officer of the United States, or a person holding any place of trust or profit, or discharging any official function under, or in connection with, any executive department of the Government of the United States, or under the Senate or House of Representatives of the United States, shall act as an agent or attorney for prosecuting any claim against the United States, or in any manner, or

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by any means, otherwise than in discharge of his proper official duties, shall aid or assist in the prosecution or support of any such claim, or receive any gratuity, or any share of or interest in any claim from any claimant against the United States, with intent to aid or assist, or in consideration of having aided or assisted, in the prosecution of such claim, shall be fined not more than \$5,000, or imprisoned not more than one year, or both. * * * (U.S. § 5498; Mar. 4, 1909, c. 321 § 109, 35 Stat. 1107.)

5. It is difficult to see what benefits are secured to the Government by the policy of purchasing the commercial rights in certain Government-employee inventions as announced in the Intelligence Division memorandum for the Chief, Army Security Agency of 29 April 1946. Under the conditions stated, no claims against the Government are extinguished because the Act of June 25, 1910, as amended (40 Stat. 705; 56 Stat. 1013; 35 U.S.C. 68) specifically denies to Government employees the right to bring suit against the Government on inventions made during the time of their employment. The pertinent part of this Act reads as follows:

"The benefits of the provisions of this section shall not inure to any patentee who, when he makes such claim, is in the employment or service of the Government of the United States, or the assignee of any such patentee. This section shall not apply to any device discovered or invented by such employee during the time of his employment or service."

Also, by virtue of the conditions of the employee's services in the situations referred to in this memorandum the Government has at least an irrevocable, royalty-free license to practice the invention plus the right to control the prosecution of the patent application and to maintain it in secrecy for so long as security needs demand which are all the rights necessary to meet the Government needs.

Further, as the policy is limited to "patent rights in cryptographic principles", it is highly discriminatory with respect to the great bulk of Government employees who make inventions important to the defense of the United States and because of that reason have their patent application held in secrecy for varying periods of time, thereby delaying the exploitation of their commercial rights. Many such patent applications are now in secrecy with a number having been in this status for periods ranging up to 17 years. To provide relief only to those cases involving "cryptographic principles" obviously would be unfair to the inventors in other fields whose patent applications are subject to the same secrecy restrictions.

FOR THE JUDGE ADVOCATE GENERAL:

George W. Gardes
 GEORGE W. GARDES, Colonel, JAGC
 Chief, Patents Division

Incls: h/c

~~SECRET~~

Media +

Asked Capt Rambo to try to find out from JAG what status of this paper is. He talked to Col. Gardes who said paper had to be sent around to various offices in Pentagon, it was now back on his desk, "he had many cases to handle, & would "get" to this one in due time,"

J

OSGAS

SUBJECT: Patent Application Serial No. 443,320

TO: The Judge Advocate General FROM: Director of DATE: 19 Feb 48 COMMENT No. 4
 Department of the Army Intelligence Capt. Harbo/247 Ext 462
 ATTN: Chief, Patents Division

1. With reference to the request contained in Comment No. 2, a search of the files of the Army Security Agency fails to reveal the specific evidence upon which the Signal Corps Patent Board based its decision regarding subject patent application.

2. The following information from the files of the Army Security Agency is submitted as evidence which may have been considered by the Signal Corps Patent Board in reaching its decision.

3. Mr. Friedman has been a civilian employee of the Department of the Army since 31 December 1921. His duties as described in the original appointment were: the compilation and preparation of all methods for secret correspondence to be used in the Army; the supervision of instruction of commissioned personnel in the proper use of codes and cipher; preparation of instructions and papers on such subjects; and compilation of special problems for instruction purposes (Inclosure 2). Formal job descriptions of the type currently in use for civilian employees were not initiated within the OCSIG until 1942 and therefore no such formal job descriptions are available for periods before 1942. However, in the case of Mr. Friedman, written indications of his duties in a form somewhat equivalent to that followed in the currently used job descriptions were found for the years 1930 and 1942. In 1930, Mr. Friedman's job was designated as that of "Principal Cryptanalyst," P-6, and in the year 1942 this title was changed to read "Head Cryptanalyst," P-7, concomitant with a promotion to the next grade (Inclosure 2). Mr. Friedman has held a comparable position since his original appointment under Section 10, Rule II, on 30 December 1921. The responsibilities of the position have greatly increased with the growth of the Army Security Agency, but the basic duties of the position are essentially those for which he was originally appointed (Inclosure 2).

4. Mr. Rowlett was appointed "Junior Cryptanalyst," P-1 in the year 1930. His duties were largely of an independent nature, under the general supervision of "Principal Cryptanalyst," Mr. Friedman. As in the case of Mr. Friedman, his duties remained relatively the same through the years, although his title changed in accordance with his promotions. Descriptions of the duties performed by Mr. Rowlett for the years 1936 and 1941 are inclosed (Inclosure 3). No written descriptions of the work performed by Mr. Rowlett are available between these years for reasons cited in the case of Mr. Friedman, paragraph 3 above.

5. Relative to the rights of Mr. Rowlett in the subject invention, he has been contacted personally and states that he has full knowledge of his rights in the matter and that he concurs fully with the action being taken by Mr. Friedman.

FOR THE DIRECTOR OF INTELLIGENCE:

COPIES FURNISHED:

AS-71P
 Mr. Friedman ✓
 Mr. Rowlett
 3 Incls

FEB 20 1948

1. n/e
 Added 2 Incls

HAROLD G. HAYES
 Colonel, Signal Corps AND SENT OUT
 Chief, Army Security Agency

2. Job info on Mr. Friedman
 3. Job info on Mr. Rowlett

~~SECRET~~

SIGLG-3HMS (29 Dec 47) Patent Application Serial No. 443,320

TO: Chief, Army Security Agency From: Legal Div., OSCigO Date: 15 Jan 48 COMMENT NO. 3
Washington 25, D. C. Saragovitz/73720
Att: Mr. Stauffer

1. In accordance with telephone conversation 14 January 1948 with Colonel Gardes, JAG Patents Division, the inclosed correspondence is forwarded for your direct reply for the reason that subject patent application is now being prosecuted and is under the general jurisdiction of the Army Security Agency, and also because the joint inventors are now employees of the Army Security Agency.

2. A search of the files in this Office failed to reveal any written or documentary evidence upon which the Signal Corps Patent Board based its decision that the subject invention was not the result of specific designation to invent.

3. It is noted that the other joint inventor, Mr. Rowlett, has not entered into the question being raised by Mr. Friedman. It is believed that the rights of Mr. Rowlett in the subject invention must also be taken into account in this matter.

FOR THE CHIEF SIGNAL OFFICER:

Incl. n/c

/s/ J. E. Pernice
JOHN E. PERNICE
Chief, Legal Division

SUBJECT: Patent Application Serial No. 443,320

TO: JAG

FROM: D/I, GSUSA

29 DEC 1947 COMMENT NO.1
Colonel McGarr/6967/rsr

1. Mr. William F. Friedman, a civilian government employee of the Army Security Agency, Intelligence Division, has requested certain information on which to prepare a case looking towards disposition to the Government of all commercially exploitable reversionary rights as an inventor in the subject patent application.

2. The policy of the then War Department, A. C. of S., G-2, as announced 29 April 1946 (Tab B-1 of Incl "), is that where it is in the interest of the Government an employee have no patent rights for security reasons in a device he was not specifically directed to invent, the ID will support any reasonable request for purchase of commercially exploitable reversionary rights of the inventor.

3. The Signal Corps Patent Board has rendered a decision that the subject invention was not the result of " - - - specific designation to invent - - ", Tab B-1 to Incl 5.

4. It is considered that the secrecy order now standing against the subject application must be continued (Incl 4).

5. From a legal viewpoint, information is requested on the actions to recover outlined in paragraph 2 a and b of subject letter 8 December 1947 by Mr. Friedman, and the manner in which final action should be accomplished.

FOR THE DIRECTOR OF INTELLIGENCE:

1 Incl
Ltr dtd 8 Dec 47
w/incls (5)

/s/ Bruce W. Bidwell
BRUCE W. BIDWELL, Col, GSC
Assistant Executive

| | | | |
|---|---------------------------|--------------------|---|
| FILE No. JAGP 1948/103-S (5 Jan 48) | SUBJECT As above | | |
| TO Chief Signal Officer ATTN: Mr. Pernice, Chief, JAGQ Legal Division. | FROM Patents Division, | DATE 7 JAN 1948 | COMMENT NO. 2 Col. G. W. Gardes/6822 |

Reference is made to paragraph 3, Comment No. 1, which states that the Signal Corps Patent Board has rendered a decision that the subject invention was not the result of "specific designation to invent". It is requested that this office be advised of the underlying facts determined by the Board in connection with the employee's status and assignment, including his job designation, which resulted in above decision.

FOR THE JUDGE ADVOCATE GENERAL:

Incl: n/c

/s/ George W. Gardes
GEORGE W. GARDES, Col, JAGD
Chief, Patents Division

UNITED STATES CIVIL SERVICE COMMISSION
Service Record Division
Washington 25, D. C.

February 10, 1948

STATEMENT OF FEDERAL SERVICE

| | | | |
|----------------------|---------------|-----------------|---|
| NAME | Date of Birth | Legal Residence | Apportionment <input type="checkbox"/> Charged <input type="checkbox"/> Credited <input type="checkbox"/> Not Charged |
| FRIEDMAN, William F. | 9-24-91 | Not shown | |

Authority for original appointment (Examination from which appointed or other authority--Executive Order, Law, or other exemption)

Section 10 Rule II

| Effective Date | Nature of action | Position, Grade, Salary, Etc. |
|----------------|------------------------------------|--|
| 12-31-21 | Excepted Appointment | Cryptanalyst \$4500 per annum, WAR, Signal Service at Large, Washington, D.C. |
| 7-1-24 | Promotion | \$5200 per annum. |
| 7-1-28 | Promotion | \$5600 per annum. |
| 7-1-38 | Promotion | \$5000 \$5800 per annum. |
| 10-1-41 | Promotion | P-6 \$6000 per annum. |
| 12-23-41 | Furlough | Cryptanalyst P-6 \$5800 per annum. |
| 4-16-42 | Return to duty (Furlough) | Cryptanalyst P-6 \$5800 per annum, WAR, Signal Service at Large, Signal Corps Washington, D.C. |
| 11-24-42 | Change in Status | Director of Communications Research P-8 \$8000 per annum. |
| | From Head Cryptanalyst P-7 \$6500 | per annum. |
| 3-16-44 | Meritorious Within-Grade Promotion | P-8 \$8250 per annum, WAR, Signal Service at Large, Arlington, Va. |
| 1-21-47 | Classification Authorized | Director of Communications Research \$9275 per annum, WAR, Headquarters Army Security Agency, Washington, D.C. |

Chief, *A M Deen* Section

The above transcript of service history does not include salary changes, intra-agency transfers within an organizational unit not involving changes from one official headquarters or duty station to another, and promotions or demotions, since Federal agencies are not required to report such actions to the Commission.

5-4-47

Conversion to Excepted
Appointment

REF ID: A104716

Chief of Communications Research P-8
\$10,000 per annum. WAR, Army Security Agency
Arlington, D.C.

Schedule B-4-III

UNITED STATES CIVIL SERVICE COMMISSION
Service Record Division
Washington 25, D. C.

February 10, 1948

STATEMENT OF FEDERAL SERVICE

| | | | |
|--|---------------|-----------------|--|
| NAME | Date of Birth | Legal Residence | Apportionment |
| ROWLETT, Frank B. | 5-2-08 | Not shown | <input type="checkbox"/> Charged <input type="checkbox"/> Credited <input type="checkbox"/> Not Charged |
| Authority for original appointment (Examination from which appointed or other authority--Executive Order, Law, or other exemption) | | | |
| Junior Mathematician 79.81 | | | |

| Effective Date | Nature of action | Position, Grade, Salary, Etc. |
|--|--|--|
| 4-1-30 | Probational Appointment | Junior Cryptanalyst \$2000 per annum, WAR, Signal Service at Large, Washington, D.C. |
| 5-1-31 | Promotion | Junior Cryptanalyst \$2100 per annum. |
| 7-19-35 | Promotion | Junior Cryptanalyst \$2200 per annum. |
| 7-1-36 | Change Status | Assistant Cryptanalyst P-2 \$2600 per annum. |
| Form 375 rated Elig. for Asst. Cryptanalyst 6-24-31. | | |
| 7-8-38 | Change Status | Associate Cryptanalyst P-3 \$3200 per annum. |
| Form 375, Elig. Associate Cryptanalyst. | | |
| 3-14-40 | Change Status | Cryptanalyst P-4 \$3800 per annum. |
| Form 375 Elig. Cryptanalyst 3-4-40. | | |
| 11-24-41 | Promotion | Senior Cryptanalyst P-5 \$4600 per annum. |
| 2-16-42 | Furlough without pay-To enter on active military duty. | |
| 5-2-46 | Reemployment after Military Service. | Research Analyst (Cryptanalytic) P-8 \$8750 per annum, WAR, Army Security Agency, Arlington Hall Station, Arlington, Va. |

Chief, *A. M. J. [Signature]* Section

The above transcript of service history does not include salary changes, intra-agency transfers within an organizational unit not involving changes from one official headquarters or duty station to another, and promotions or demotions, since Federal agencies are not required to report such actions to the Commission.

(Over)

am

Form 1472a
February 1947

5-4-47

Conversion to Excepted Appointment
Schedule B 4-iii

Research Analyst(Cryptanalytic)P-8
\$9975 per annum.

WDGAS-61

7 January 1947

Civil Service Commission
 Service Record Division, Status Section
 8th & F Streets, N. W., Room 151
 Washington, D. C.

Attention: Mrs. G. A. Larkin

Gentlemen:

With reference to your recent telephone request, inclosed herewith is job description in the case of William F. Friedman, an employee of this Agency.

Because of the classified nature of the work performed, it is impossible to be any more specific in the position description than that which is presently outlined.

The position formerly held by Mr. Friedman, entitled Head Cryptanalyst, was essentially the same as outlined on the attached sheet. Administratively the title of the position was changed to Director of Communications Research in November 1942, but the duties did not change.

It is the opinion of this office that Mr. Friedman has held a comparable position since his original appointment under Section 10, Rule II, on 31 December 1921. The responsibilities of the position have greatly increased with the growth of the Agency but the basic duties of the position are essentially those for which he was originally appointed.

This office would appreciate expeditious action on this case and, if we can be of assistance in settling it, please do not hesitate to contact the undersigned at Glebe 4300, extension 222.

Sincerely yours,

Incl
 Position Description

D. GLENN STARLIN
 Chief, Personnel and
 Training Branch

A True Copy

William F. Friedman; Chief, Admin. Sec., 22 Jan 1947

WDGSS-41

23 November 1945

U. S. Civil Service Commission
Washington 25, D. C.

ATTENTION: Status Section

Gentlemen:

It is requested that favorable action be taken by the Civil Service Commission in granting a classified status to William F. Friedman, Director of Communications Research, P-8, @ \$9275 per annum.

Reference is made to letter from your office dated 3 December 1921 which granted authority for the appointment of Mr. Friedman under Section 10 of Rule II to the position of Cryptanalyst, @ \$4500 per annum. Mr. Friedman has served continuously with the War Department since 31 December 1921.

Upon the satisfactory completion of Mr. Friedman's first year of service with the War Department, no provision was known whereby the employing Agency would be in a position to request that he be granted a classified status. No request to the Civil Service Commission was made at that time.

It has now been brought to the attention of this office that such a provision does exist and it is, therefore, requested that favorable action be taken in Mr. Friedman's case.

Please advise this office if additional information or forms are required.

Very truly yours,

H. O. SCHLOSS
Captain, Signal Corps
Chief, Personnel Branch

A True Copy

W. F. Friedman, Chief, Admin Sec., 22 Jan. 1948

WAR DEPARTMENT
 SIGNAL INTELLIGENCE SERVICE
 Office of the Chief Signal Officer
 Washington

December 1, 1939

Date

SUBJECT: Secrecy for Certain Patents

TO:

You are hereby assigned to work that may result in improvements in arts of value to the Chief Signal Officer.

It is possible that this work may result in the discovery of patentable features, and your signature on this document is desired for the purpose of enabling vesting in the United States all right, title and interest to any invention that you may make while engaged in the work assigned, if in the opinion of the Chief Signal Officer the public interest demands that the invention be owned and controlled by the War Department.

Acceptance of assignment to this work will constitute an agreement on your part to execute the papers required for complete assignment of any such invention to the United States in case the Chief Signal Officer decides that the invention should remain secret, or to execute the papers necessary for making application for patent and the assignment of the patent to the United States if secrecy is not necessary or is necessary only for a limited time. In the case of an invention which the Chief Signal Officer decides should remain secret, acceptance of this assignment also constitutes an agreement on your part that you will not disclose the invention to unauthorized persons until such time as you are informed in writing by the Chief Signal Officer, or by his order, that the need for secrecy has ceased.

The assignment of the invention to the United States must be drafted in form to comply with requirements of law relating to patent applications coming under this category; but such assignment or instrument of transfer may in a proper case include suitable reservations to enable you to retain or repossess your commercial rights, in whole or in part, if and when the need for secrecy ceases to exist.

This notice of assignment to develop improvements in arts of value to the Signal Corps shall not be construed as divesting you of ownership of any invention made by you while engaged on this work, other than those which in the opinion of the Chief Signal Officer should be owned and controlled by the War Department to safeguard the public interest, except that the United States shall be entitled to a non-exclusive license to any

Fuller Johnson

CONFIDENTIAL

and all inventions made by you in the course of the work assigned in the same way as if this special assignment had not been made.

By order of the Chief Signal Officer

/S/ Clyde L. Eastman,
Clyde L. Eastman,
Colonel, Signal Corps,
Executive.

1st Ind.

War Dept., OCSigO, Washington, D. C.
To: The Chief Signal Officer.

December 4, 1939

1. I hereby accept assignment to work under the conditions set forth in basic communication.

/S/ William F. Friedman

2 True copy:

William F. Friedman

Chief, Admin. Sec, 22 Jan. 1948

MEMORANDUM FOR: Mr. W. F. Friedman
War Plans and Training Division.

You are hereby assigned to develop improvement in arts of value to the Chief Signal Officer, during the period of your assignment to duty in the Office of the Chief Signal Officer.

It is expected that this work may result in the discovery of patentable features, and your assignment to this work is for the particular purpose of vesting in the United States all right, title and interest to any invention that you may make while engaged in the work assigned, if in the opinion of the Chief Signal Officer the public interest demands that the invention be owned and controlled by the War Department.

Acceptance of assignment to this work will constitute an agreement on your part to execute the papers required for complete assignment of any such invention to the United States in case the Chief Signal Officer decides that the invention should remain secret, or to execute the papers necessary for making application for patent and the assignment of the patent to the United States if secrecy is not necessary or is necessary only for a limited time. In the case of an invention which the Chief Signal Officer decides should remain secret acceptance of this assignment also constitutes an agreement on your part that you will not disclose the invention to unauthorized persons until such time as you are informed in writing by the Chief Signal Officer, or by his order, that the need for secrecy has ceased.

The assignment of the invention to the United States must be drafted in form to comply with requirements of law relating to patent applications coming under this category; but such assignment or instrument of transfer may in a proper case include suitable reservations to enable you to retain or repossess your commercial rights, in whole or in part, if and when the need for secrecy ceases to exist.

This notice of assignment to develop improvements in arts of value to the Signal Corps shall not be construed as divesting you of ownership of any invention made by you while engaged on this work, other than those which in the opinion of the Chief Signal Officer should be owned and controlled by the War Department to safeguard the public interest, except that the United States shall be entitled to a non-exclusive license to any and all inventions made by you in the course of the work assigned in the same way as if this special assignment had not been made.

By order of the Chief Signal Officer:

/s/ Dawson Olmstead

Executive Officer

1st Ind.

War Department, GCSigO, Washington, D. C., April 25, 1936

To: The Chief Signal Officer.

1. I hereby accept assignment to work under the conditions set forth in basic communication.

/s/ William F. Friedman

A True Copy

W. F. Friedman, Chief Admin. Sec., 22 Jan. 1948

201-Frank B. Rowlett

June 18, 1936. 3

Promotion and change of designation.

The Secretary of War.

1. It is recommended that Frank B. Rowlett, Junior Cryptanalyst, \$2200 per annum, Grade P&S 1, Signal Service at Large, Washington, D. C., be promoted to Assistant Cryptanalyst, \$2600 per annum, Grade P&S 2, effective July 1, 1936, to fill an authorized position in that grade.

2. The duties to be performed by Mr. Rowlett are as follows:

Cryptanalytic - Research and special studies in connection with the solution of complex codes and ciphers, and cipher machinery. 70%

Cryptographic - The compilation and revision of authorized codes; devising new ciphers and cipher systems. 25%

Special lecturer and instructor in Signal Intelligence School. 5%

Mr. Rowlett's work is largely of an independent nature, under general supervision of Principal Cryptanalyst. Will supervise the work of cryptographic clerks who act as assistants in preparation of material for study.

3. Mr. Rowlett has been in the service of the Signal Corps since April 1, 1930, and has performed all tasks assigned him in a highly satisfactory manner. On the basis of proficiency and relative merit he is entitled to the advancement recommended.

4. Civil Service Form No. 375, executed by Mr. Rowlett, is inclosed.

5. The necessary funds will be available.

For the Chief Signal Officer.

S. W. Stanley,
Lieut. Col., Signal Corps,
Executive

1 Incl.

Form 375

A True Copy

Fuller, [Signature], [Signature]

(Rowlett, Frank B.)

1st Ind.

hms

War Department, June 19, 1948. To the Civil Service Commission.

The Department requests authority for the promotion recommended,
By order of the Secretary of War:

F. H. POWELL

Acting Chief, Civilian Personnel Division.

1 Incl.
Form 575

A True Copy

Will F. Johnson Chief Admin. Sec. 22 Jan. 1948

O. P. D. 8--1931

WAR DEPARTMENT
Job Sheet for Field Civil Service Appointments

This sheet is to accompany recommendations for field civil-service appointments, which by regulations require action by the Secretary of War. The reverse side hereof may be used if spacing below is not sufficient.

1. Name of appointee: Frank D. Rowlett
2. Branch of service and station: Signal Service at Large, Washington, D. C.
3. Title of position: Senior Cryptanalyst, P-6
4. Gross salary rate recommended: \$4800.00 (Cash, plus allowances,) Value of allowances, if any, included above, \$ _____
5. Effective date of appointment: October 9, 1941
6. State whether appointment is probationary, temporary (duration to be given), by reinstatement, or by transfer: By promotion
7. Description of duties, with approximate percent of time spent on each major operation:

To initiate and conduct very difficult research work of a technical character embracing the development and application of cryptographic and cryptanalytic procedures, devices and apparatus; to originate and design methods for obtaining results required in the conduct of highly secret activities of the War Department and to supervise and direct the activities of subordinates engaged in such duties. -----100%.

8. Extent of supervision, and own responsibility, under which duties are performed; also measure of supervision exercised over other employees.

Under general administrative supervision of the Principal Cryptanalyst and commissioned officer in charge of Signal Intelligence Service, but with wide latitude for independent and unreviewed action.

a. See other side of sheet. b. P&S-6, \$5800, and a commissioned officer.

(Date) 10-7-41 (Signature and title of recommending field official.)
/s/ R. W. Minckler R. W. Minckler, Lt. Col., Signal Corps

9. Bureau recommendation may be forwarded to the Secretary of War by endorsement below or in a separate communication.

A True Copy

W. F. Johnson Chief Admin. Sec. 22 Jan. 1942

8
in.

- 2-P-4
- 2-P-5
- 1-P-2
- 5-P-4
- 1-SP-6
- 3-SP-4
- 5-SP-5
- 2-CAP-5
- 5-CAP-4
- 2-CAP-5
- 1-CAP-2

201.-Friedman, William F.
Admin. Sec.

November 16, 1921

Office of the Chief Signal Officer.

The Secretary of War.

Appointment of Mr. William F. Friedman.

1. It is recommended that William F. Friedman be given appointment as Cryptanalyst, \$4500 per annum, Signal Service at Large, Washington, D. C., under Section 10 of Rule II, Civil Service Rules.

2. The compilation and preparation of all methods for secret correspondence to be used in the Army has been assigned to the Signal Corps by direction of the General Staff, and in order that this important work may be successfully carried on, it is necessary that the services of a highly trained expert be secured. Mr. Friedman has had extended experience in the preparation and compilation of codes and ciphers, and in the analysis of such codes and ciphers prior to and during the World War. In addition to compiling and preparing codes and ciphers, it is purposed to assign to Mr. Friedman the supervision of instruction of commissioned personnel in the proper use of codes and ciphers; preparation of instructions and papers on such subjects; and compilation of special problems for instruction purposes. He will also be assigned the duty of examining and passing upon such code and cipher systems as are submitted, from time to time, to the Signal Corps for consideration. He will also be charged with the duty of devising means of directing traffic, with absolute safety and security, of a printing telegraph cipher system.

3. Form 375 executed by Mr. Friedman, together with statements of Lieut. Colonel S. Heintzelman and Major Frank Moorman, General Staff, are submitted herewith.

4. There is no commissioned officer, enlisted man or other civilian employe available for assignment to this duty.

5. The necessary funds are available.

George O. Squier
Major General
Chief Signal Officer of the Army

3 incls.

A True Copy

W. F. Friedman, Chief, Admin. Sec., 22 Jan. 1948

1. FRIEDMAN WILLIAM F.
(Surname) (Given name) (Initial)

2. Department War

3. Bureau Signal Corps

4. Field Service Signal Service at Large

5. (a) Field Station _____
(b) Subdivision _____
(c) City or town Washington State D.C.

6. Pay-roll title Cryptanalyst

7. Customary office title Chief of Code and Cipher Section

| | | |
|----------------------------|--|--|
| DO NOT WRITE IN THIS SPACE | | |
| a | | |
| b | | |
| c | | |
| d | | |

8. (a) Number of regular working hours of the position, per day seven; per week six
(b) If this is not a full-time position, state percentage of time employed per day _____; or per week _____
(c) If night work, wholly or in part, state the hours: From _____ m. to _____ m.

9. If this is not an all-year-round position, state approximate number of days employed each year _____
During what months _____

10. If the employee receives compensation from any other branch of the Federal Government, or from any city, county, or State government, state the position held and the compensation _____

11. Present rate of pay, exclusive of bonus \$ 4500.00 per year; bonus, \$ _____ per annum.
12. Rate of pay, exclusive of bonus, on January 1, 1923, \$ 4500.00 per year; bonus, \$ _____ per annum.

13. If the employee receives overtime pay, state the rate _____
14. Title of appropriation or fund from which basic compensation is paid Signal Service of the Army, 1923

15. Indicate by an "X" in the proper box any of the following allowances received, in addition to salary or wages: Quarters; 3 meals per day; 2 meals per day; 1 meal per day; Subsistence or rations in kind; Uniform; Laundry; Fuel; Light; Heat. If cash allowances are made for any of these items, state which items and the amounts per annum _____

16. Indicate what special equipment, if any, the employee is required by law or regulation to furnish at his own expense, and the approximate annual maintenance cost to the employee:
Kind of equipment _____; annual cost, \$ _____

17. Extent of employee's education. (Place an "X" in the box before the highest grade or year.)
(a) Elementary school; years 1 2 3 4 5 6 7 8
(b) High school; years 1 2 3 4
(c) Business school; years 1 1½ 2 2½ 3
(d) College: Name Cornell University; years 1 2 3 4
(e) Post graduate work: Kind Genetics and statistics; cryptography; years 1 2 3
(f) Correspondence courses: Kind _____; number of lessons _____; number completed _____

| Description of work. (Describe the various tasks performed, making the description of each as detailed as space will permit. Use a paragraph for each task and number the paragraphs. In the column at the right state the estimated percentage of the total time—in the course of a day, month, or year—given to each task.) | Percentage of total time given to each task |
|---|---|
| 1. Supervision of preparation and compilation of all codes and ciphers for War Department. | 30 |
| 5. Supervision of instruction of commissioned personnel in the proper use of codes and ciphers. | 15 |
| 3. Supervision of preparation of technical manuals and papers on codes and ciphers. | 20 |
| 4. Preparation of special problems for instruction purposes. | 15 |
| 4. Examination of all code and cipher systems submitted to War Department for consideration, including technical examination and criticism of all machines for cryptographic purposes. | 15 |
| 7. Supervision of all means and agencies of secret communication to use by War Department to insure absolute safety, and study of mathematical problems in maintaining secrecy of signal communications. | 05 |
| 2. General research in all phases of cryptography and cryptanalysis. | 20 |
| 6. Assist in technical development of cipher apparatus suitable for military use, such as automatic methods of encipherment and decipherment in connection with printing telegraph systems. | 05 |

2/10/23 in connection with all necessary papers for the War Department.

19 Does employee work under immediate supervision, or to a large extent upon his own responsibility? (Describe fully)

He works to a large extent upon his own responsibility. ^{He} is the only expert employed as cryptanalyst in the War Department. The number of experts in this work is extremely limited.

20 Do the duties involve direction or supervision of the work of other employees? Yes
If so, describe the nature of the direction or supervision and give the number and classes of employees directed or supervised

Supervision of typewriting of manuscripts for the various items listed under 18, checking of cipher and code problems, proofreading of mss, etc, preparation of various kinds of tables and charts in connection with analysis of cryptograms, etc
One assistant for clerical work
One typist full time
One typist part time, totalling approximately 4 months per year

21 How long have the employee's duties been substantially as described above? Since Jan 1, 1921

22 I hereby certify that to the best of my knowledge and belief the answers to the foregoing questions are correct

_____, 1923
(Date)

(Signature of Preparing Officer)

(Title)

23. I have read the foregoing and I agree to it except as follows.

(Signature of Employee)

THE FOLLOWING TO BE FILLED OUT BY THE HEAD OF THE FIELD OFFICE OR STATION

24 Indicate by an "X" in the proper spaces below the qualifications and personal traits considered important for the satisfactory performance of the duties of this position

| | HIGH DEGREE | AVERAGE | NOT ESSENTIAL |
|--|-------------|---------|---------------|
| Judgment | | | |
| Accuracy | | | |
| Initiative (originality and resourcefulness) | | | |
| Trustworthiness (dependability) | | | |
| Speed (quickness) | | | |
| Physical Qualities (strength and endurance) | | | |

| | EDUCATIONAL TRAINING | |
|---------------|----------------------|-----------------------------|
| | ESSENTIAL | DESIRABLE BUT NOT ESSENTIAL |
| College | | |
| High School | | |
| Common School | | |

TECHNICAL EDUCATION If essential, kind and extent _____

EXPERIENCE If essential, kind and extent _____

25 I hereby certify that I have read the foregoing and that, to the best of my knowledge and belief, the statements made are accurate and complete. In my judgment the compensation of this position should be in a range from \$_____ to \$_____

_____, 1923
(Date)

(Signature of head of field office or station)

(Title)

2.1.3

Patent Application No. 443,200

Director of Intelligence

Chief, ISA

11 Dec 47

1

Lt. Col. Neff/8129 Ext 498

Attached letter is forwarded for guidance requested by William F. Friedman in paragraph 2 thereof.

1 Incl
Ltr dtd 8 Dec 47,
subj as abv

HAROLD G. HAYES
Colonel, Signal Corps
Chief, Army Security Agency

COPY FURNISHED:
AS-14