

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-476-11-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 11/23/2023

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records.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

All items other than those listed below remain active

SUPERSEDED AND OBSOLETE ITEMS

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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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

Item 8.4 is superseded by GRS 20 #5 (DAA-GRS-2017-0003-0002)

Item 9.3 is superseded by GRS 20 #11a(1) (DAA-GRS-2013-0005-0003)

Item 9.4 is superseded by GRS 20 #5 (DAA-GRS-2017-0003-0002)

Item 10 is superseded by GRS 20 #10a, b (DAA-GRS-2013-0005-0008)

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-476-11-1	DATE RECEIVED 11/16/10
1 FROM (Agency or establishment) Department of Commerce (DOC)/ Bureau of Industry and Security (BIS)		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Office of Non-Proliferation Controls and Treaty Compliance		In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION Treaty Compliance Division		DATE 11/16/10	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
4 NAME OF PERSON WITH WHOM TO CONFER James Vidale	5 TELEPHONE 202-482-2165		
6 AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required, <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE 9/22/10	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	TITLE RECORDS OFFICER	

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p>The U S Department of Commerce's (DOC) Bureau of Industry and Security (BIS) is responsible for implementing international treaties that have an effect on U S industry BIS's Treaty Compliance Division (TCD) processes data declarations and reports and performs inspections of U S industry facilities and organizations under the Chemical Weapons Convention (CWC) and the United States and International Atomic Energy Agency Additional Protocol (AP) TCD is also responsible for industry issues relating to the Biological Weapons Convention (BWC) and other international treaties</p> <p>On April 25, 1997, the United States ratified the Convention on the Prohibition of the Development, Production, Acquisition, Stockpiling, Transfer and use of Chemical Weapons and on their Destruction (CWC) DOC/BIS/TCD collects, aggregates and validates declaration and report data from U S chemical facilities involving certain chemicals that will be produced, processed, consumed, exported or imported DOC/BIS/TCD manages the CWC Information Management System (IMS), which processes, validates, stores and aggregates CWC data received from U S chemical facilities DOC/BIS/TCD is the lead agency for CWC inspections conducted at U S chemical facilities DOC/BIS/TCD acts as the host team and escort of international inspectors from the Organization for the Prohibition of chemical Weapons (OPCW) during inspections of U S chemical facilities subject to the Chemical Weapons Convention Regulations (CWC), including challenge inspections DOC/BISTCD also participates in outreach programs to maintain dialogue with industry and to provide education on their rights and obligations under the CWC</p> <p>On January 6, 2009, the United States ratified the Protocol Additional to the Agreement between the United States of America and the International Atomic Energy Agency for the Safeguards in the United States of America (the U S Additional Protocol or AP) The U S Additional Protocol is a bilateral agreement between the United States and the International Atomic Energy Agency (IAEA) that supplements provisions of the U S - IAEA Safeguards Agreement by broadening IAEA access to all aspects of the nuclear fuel cycle through declaration and complementary access provisions</p>	<p>Supersedes NARA Job No. N1-476-00-1</p>	

REQUEST FOR RECORDS DISPOSITION AUTHORITY -- CONTINUATION

JOB NUMBER

PAGE
OF

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p>DOC/BIS/TCD collects, aggregates, and validates report data from U S industry/ locations and other U S persons engaged in certain civil nuclear fuel cycle-related activities, which are not regulated by the U S Nuclear Regulatory Commission (NRC) or its domestic Agreement States and are not located on certain U S Government locations (e g , Department of Energy and the Department of Defense) TCD will participate in outreach activities to educate and maintain dialogue with industry on the obligations under the AP</p> <p>Under the U S Additional Protocol, DOC/BIS/TCD is the lead agency responsible for administering the U S AP Declaration for the U S Government DOC/BIS/TCD collects activity reports from the Departments of Commerce and Energy and the NRC and compiles the draft U S AP declarations for interagency (e g , NRC, DOE, DOE, DOS, NSC intelligence community) vetting for submission to the U S Congress and ultimately to the IAEA In the future, DOC/BIS/TCD will administer the Additional Protocol Reporting System (APRS), which will process reports from industry/ organizations and relevant U S Government agencies to compile the U S AP Declaration</p> <p>See the attached list of record descriptions and requested disposition authorities</p> <p>The records identified in this Records Control Schedule supersede the records identified in the BXA/CBTC/TCD/Information Technology Team's (ITT's) Record Control Schedule Number N1 476-00-1, signed by the Archivist of the United States on June 22, 2000</p>		

Office of Non-Proliferation and Treaty Compliance

Treaty Compliance Division

The U S Department of Commerce's (DOC) Bureau of Industry and Security (BIS/TCD) is responsible for implementing international treaties that have an effect on U S industry. BIS/TCD's Treaty Compliance Division (TCD) processes data declarations and reports and performs inspections of U S industry facilities and organizations under the Chemical Weapons Convention (CWC) and the United States and International Atomic Energy Agency Additional Protocol (AP). TCD is also responsible for industry issues relating to the Biological Weapons Convention (BWC), which does not have a verification regime, as well as other international treaties.

On April 25, 1997, the United States ratified the Convention on the Prohibition of the Development, Production, Acquisition, Stockpiling, Transfer and use of Chemical Weapons and on their Destruction (CWC). BIS/TCD collects, aggregates and validates declaration and report data from U S chemical facilities involving certain chemicals that will be produced, processed, consumed, exported or imported. BIS/TCD manages the CWC Information Management System (IMS), which processes, validates, stores and aggregates CWC data received from U S chemical facilities. BIS/TCD is the lead agency for CWC inspections conducted at U S chemical facilities. BIS/TCD acts as the host team and escort of international inspectors from the Organization for the Prohibition of chemical Weapons (OPCW) during inspections of U S chemical facilities subject to the Chemical Weapons Convention Regulations (CWCR), including challenge inspections. BIS/TCD also participates in outreach programs to maintain dialogue with industry and to provide education on their rights and obligations under the CWC.

On January 6, 2009, the United States ratified the Protocol Additional to the Agreement between the United States of America and the International Atomic Energy Agency for the Safeguards in the United States of America (the U S Additional Protocol or AP). The U S Additional Protocol is a bilateral agreement between the United States and the International Atomic Energy Agency (IAEA) that supplements provisions of the U S -IAEA Safeguards Agreement by broadening IAEA access to all aspects of the nuclear fuel cycle through declaration and complementary access provisions. BIS/TCD collects, aggregates, and validates report data from commercial industry/locations and other U S persons engaged in certain civil nuclear fuel cycle-related activities, which are not regulated by the U S Nuclear Regulatory Commission (NRC) or its domestic Agreement States and are not located on certain U S Government locations (e.g., Department of Energy and the Department of Defense). BIS/TCD participates in outreach activities to educate and maintain dialogue with industry on their obligations under the AP.

Under the U S Additional Protocol, BIS/TCD is the lead agency responsible for compiling the U S AP Declaration for the U S Government. BIS/TCD collects activity reports from the Departments of Commerce and Energy and the NRC and compiles the draft U S AP declarations for interagency (e.g., NRC, DOE, DOS, DOD, NSC, intelligence community) vetting for submission to the U S Congress and ultimately to the IAEA. In the future, BIS/TCD will administer the Additional Protocol Reporting System (APRS) once it is developed and implemented. The APRS will receive reports from industry/organizations and declarations from relevant U S Government agencies for aggregation to compile the U S AP Declaration.

See the attached list of record descriptions and requested disposition authorities.

The records identified in this Records Control Schedule supersede the records identified in the BXA/CBTC/TCD/Information Technology Team's (ITT's) Record Control Schedule Number N1 476-00-1, signed by the Archivist of the United States on June 22, 2000.

TREATY COMPLIANCE DIVISION (TCD)

CWC Program Records

1. Chemical Weapons Convention (CWC) Program Records:

1.1 CWC Regulations and Policies Program Records

Records for establishment of the CWC Regulations and official internal policies to implement the CWC program

Disposition - Permanent: Cut off files at end of calendar year. Store on site for 15 years and offer to National Archives in 20 years

Reference: Supersedes Citation - Office of Non-Proliferation and Treaty Compliance's Record Schedule -- N1-476-03-2/18

1.2 CWC Program Operational

Records are reference copies of records that reflect changes in the CWC program components Included are executive orders, strategic plans, functional and mission statements, and vital records plan In addition, reference copies of reports to Congress, federal register notices and regulations.

Disposition - Temporary: Cut off files at end of calendar year Retain until superseded or obsolete and then destroy

1.3 Chronological Files

Correspondence maintained for convenience of reference (example FOIA request, controlled correspondence, and cables, etc) The office will maintain an unclassified and classified chon file

Disposition - Temporary: Cut off files at end calendar year Destroy after 5 years or when no longer needed for current business

1.4 Chemical Determinations

Records of correspondence requesting chemical determinations/classifications under the CWC Regulations and BIS/TCD's decisions (letter or e-mail)

Disposition - Temporary: Retain in the Treaty Compliance Division for the life of the program Re-examine every 10 years and destroy when no longer needed for current business

1.5 Questions and Answers

Records of various correspondence requesting information on or clarification of issues relating to the CWC program.

Disposition - Temporary: Retain in the Treaty Compliance Division for the life of the program Re-examine every 10 years and destroy when no longer needed for current business.

1.6 Schedule 1 Advance Notifications and Reports

Records of advanced notification and annual reports from the chemical facilities/companies informing BIS/TCD of their intent to export or import Schedule 1 chemicals under the CWC Regulations or the Export Administration Regulations

Disposition - Temporary: Retain in the Treaty Compliance Division for the life of the program. Re-examine every 10 years and destroy when no longer needed for current business

1.7 CWC Declarations and Reports

CWC declarations and reports for Schedule 1, 2 and 3 chemicals and Unscheduled Discrete Organic Chemicals (UDOCs) received from chemical facilities and trading companies. Records include U.S. CWC declarations, including aggregate national data, which are transmitted to the Department of State (U.S. National Authority) for transmission to the Organization for the Prohibition of Chemical Weapons (OPCW).

Disposition - Temporary: Retain in the Treaty Compliance Division for the life of the program. Re-examine every 10 years and destroy when no longer needed for current business (See also Item 8 and 8.1 through 8.5 for additional information on declarations and reports.)

1.8 CWC End-User Certificates

End-user certificates submitted by U.S. exporting companies, which were issued by foreign governments (States Not Party to the CWC) of the importing country.

Disposition - Temporary: Retain on site in the Treaty Compliance Division for the life of the program. Re-examine every 10 years and destroy when no longer needed for current business.

1.9 CWC Compliance Supporting Documents

Records and supporting documentation of reviews conducted to verify industry's compliance with the CWC Regulations and the CWC provisions of the Export Administration Regulation. Documentation includes verification requirement for Declarations of Additionally Planned Activities (DAPAs), Schedule 3 End-Use Certificates and related export licenses, as applicable, Schedule 2 and 3 Sample Shipment Reports, Export Licenses as compared to CWC Reports on Exports and Imports, Discrepancies between U.S. and other States Parties Aggregate National Data, and Ad Hoc reviews.

Disposition - Temporary: Retain in the Treaty Compliance Division for the life of the program. Re-examine every 10 years and destroy when no longer needed for current business.

1.10 CWC Inspection Site Manuals and Related Documents

Records of inspection of chemical facilities, which include pre-inspection documents (e.g., notification, consent forms); host and inspection team documents, (e.g., roster, mandate, TEI report, control logs, situation reports, Inspection Team's inspection plan, Preliminary Findings Report); post inspection

documents (e.g., reimbursable expense report, cost report, post-inspection letter to facility, Final Inspection Report, after action reports etc.), and Site-Assistance Visit Reports

Disposition - Temporary: Retain in the Treaty Compliance Division for the life of the program. Re-examine every 10 years and destroy when no longer needed for current business.

Reference: Supersedes Citation - Office of Non-Proliferation and Treaty Compliance's Record Schedule -- N1-476-03-2/20

1.11 CWC Working Paper Files

Paper files maintained by individual staff members that consist of background materials, working papers, extra copies, drafts, and technical specs or reference materials pertaining to individual assignments or projects

Disposition - Temporary: Destroy on site when no longer needed for current business. **Supersedes Citation: Office of Non-Proliferation and Treaty Compliance's Record Schedule -- N1-476-03-2/19**

2. CWC Web-DESI Electronic Submission Certification Letters

Original certification letters signed by authorizing officials of chemical facilities or trading companies requesting authorization to establish individual user accounts for access to Web-DESI. Records include users' ID, initial password, privileges, facilities' USC codes and "Site Pin IDs"

Disposition - Temporary: Retain on site in the Treaty Compliance Division for the life of the program. Re-examine every 5 years and destroy Web-DESI letters for companies that are no longer in business or are not subject to declaration/reporting requirements under the CWC Regulations.

3. CWC Instructional and Procedural Manuals

Records include instructional manuals and procedures for internal use by the TCD staff members. These manuals incorporate CWC operating guidance, CWC Regulations and Export Administration Regulation (EAR) and other BIS/TCD policies

Disposition - Temporary: These manuals and procedures are routinely revised. Retain until superseded or obsolete, and then destroy

3.1 CWC Declaration and Report Guidance

Procedures and guidance manual for processing data declarations and reports for Schedule 1, 2, and 3 chemicals, Unscheduled Discrete Organic Chemicals (UDOCs) and related matters

Disposition - Temporary: This manual is revised as new procedures are established. Retain until superseded or obsolete, and then destroy

3.2 CWC Inspection Guidance

Procedures and guidance manual for internal use by TCD staff members during the conduct of industry inspections and post-inspection activities

Disposition - Temporary: This manual is revised as new procedures are established. Retain until superseded or obsolete, and then destroy

3.3 CWC Travel Guidance

Procedures and guidance manual for processing travel orders and vouchers for CWC inspections for TCD staff members and international inspectors of the OPCW.

Disposition - Temporary: This manual is revised as new procedures are established Retain until superseded or obsolete, and then destroy

3.4 CWC Sampling and Analysis Guidance

Procedures, guidance and interagency agreed policies manual on sampling and analysis activities during routine and challenge inspections by the OPCW

Disposition - Temporary: This manual is revised as new procedures are established Retain until superseded or obsolete, and then destroy

3.5 CWC Challenge Inspection Guidance

Interagency-agreed policies and procedures manual for conducting challenge inspections at industrial chemical facilities

Disposition - Temporary: This manual is revised as new procedures are established Retain until superseded or obsolete, and then destroy

3.6 CWC Article VI - Inspection Guidance

Policy documents and guidance on CWC issues (e g., ambiguities/IRFA, uncertainties, CBI, sampling and analysis, plant site delineation, site security, records review, cameras and photography, safety, information control)

Disposition - Temporary: This manual is revised as policy is updated or established. Retain until superseded or obsolete, and then destroy

3.7 TCD Recordkeeping Guidance

Internal and regulatory requirements and guidance manual on federal records management, including instructions on the use of electronic records, such as the CWC IMS application Provides guidance on official electronic records (copies) maintained and on TCD's G, K, L, P, and H "user's personal" drives of the TCD Network (TCD Net).

Disposition - Temporary: This manual is revised as policy is updated or established Retain until superseded or obsolete, and then destroy

3.8 General System Operational Guidance

Instruction manual on the general use and operation of TCD's computer systems and IT applications

Disposition - Temporary: Retain until superseded or obsolete, and then destroy

3.8.1 Information Management System (IMS) Instructional Manual

Guidance for operating the IMS and its various reporting features (e g , detailed reports, OPCW reports) The manual is for internal use by TCD staff members and provides an overview of the application's capabilities

and features. The manual is revised as new features are developed and procedures are established. New pages are inserted to replace those that are obsolete (also identified under section on "Information Systems")

Disposition - Temporary: Retain until superseded or obsolete, and then destroy

3.8.2 CWC Web-DESI Account Manager System Manual

Guidance and instructions for internal use by TCD staff members to manage industry users' and plant site accounts for the Web-DESI application. Instructions for user passwords, site identification numbers (SINs) and electronic files/documentation relating to the Web-DESI application and for the front-end management of the database. Multiple functions can be completed in the system. The manual is revised as new procedures are established. New pages are inserted to replace those that are obsolete.

Disposition - Temporary: Retain until superseded or obsolete and then destroy

3.8.3 CWC Web-DESI User Manual

Guidance for assisting industry to use the Web-Data Entry Software for Industry (Web-DESI) application. Web-DESI is a voluntary tool designed to reduce industry's burden in complying with the CWC, which allows industry to submit CWC declarations and reports for Schedule 1, 2, 3 chemicals and Unscheduled Discrete Organic Chemicals via the Internet in a secure environment (Manual is currently under development)

Disposition - Temporary: Retain until superseded or obsolete and then destroy

4. CWC Outreach Program

Workshops and seminars conducted by TCD staff to educate industry on their obligations under the CWC Regulations. Records include presentation slides, registration logs, questionnaires, hand-outs and publications.

Disposition - Temporary: Destroy when superseded or obsolete.

4.1 CWC Implementation Assistance Programme (IAP)

Background and reference materials to assist States Parties to the CWC in implementing treaty requirements, which includes for example, declaration requirements, import/export obligations, and National Authority obligations.

Disposition - Temporary: Retain until superseded or obsolete, and then destroy

4.2 CWC Global Chemical-Industry Compliance Program (GC-ICP)

Guidance for U.S. and foreign chemical facilities and traders/trading companies to develop a compliance program and determine the classification of chemicals

Disposition - Temporary: Retain until superseded or obsolete, and then destroy

Addition Protocol (AP) Program Records

5. Additional Protocol (AP) Program Records:

5.1 AP Regulations and Policies Program Records

Records for establishment of the AP Regulations and official internal policies to implement the AP program

Disposition - Permanent: Cut off files at end of calendar year Store on site for 15 years and offer to National Archives in 20 years

5.2 AP Program Operational

Records are reference copies of records that reflect changes in BIS/TCD's program components. Included are executive orders, strategic plans, functional and mission statements, and vital records plan. In addition, reference copies of reports to Congress, federal register notices and regulations.

Disposition - Temporary: Cut off files at end of calendar year Retain until superseded or obsolete and then destroy

5.3 AP Chronological Files

Correspondence maintained for convenience of reference (example: FOIA request, controlled correspondence, cables, etc.). The office will maintain an unclassified and classified chron file. **Disposition - Temporary:** Cut off files at end calendar year Destroy after 5 years or when no longer needed for current business.

5.4 AP Determinations

Records of correspondence requesting determinations of whether activities are subject to the reporting requirements of the AP Regulations

Disposition - Temporary: Retain in the Treaty Compliance Division for the life of the program Re-Examine every 10 years and destroy when no longer needed for current business.

5.5 AP Reports and U.S. Declarations

Records of AP reports submitted by the nuclear industry (e.g , persons and locations subject to Commerce Regulations and NRC Regulations), AP declarations submitted to BIS/TCD by other U S Government agencies (e g , DOE, NRC) and the draft and final national AP declarations. BIS/TCD compiles the U.S. draft national declaration for interagency vetting, review by the U.S Congress, and transmission to the International Atomic Energy Agency (IAEA)

Disposition - Temporary: Cut off file at end of calendar year Retain original copies on site for 5 years from the due date or three years from the date of submission of the applicable report and then destroy 7 years old.

5.6 AP Compliance Supporting Documents

Records of information requested by BIS/TCD or other U S. Government agencies to persons and locations subject to the AP Regulations to determine compliance with reporting and recordkeeping requirements or to respond to clarification requests from the IAEA (e g , clarification requests or vulnerability assessments)

Disposition - Temporary: Retain in the Treaty Compliance Division for the life of the program Re-Examine every 10 years and destroy when no longer needed for current business

5.7 AP Working Paper Files

Background materials, working papers, draft documents and technical specs or reference materials maintained by individual staff members that pertain to individual assignments or projects.

Disposition - Temporary: Destroy on site when no longer needed for current business.

5.8 AP Instructional and Procedural Manuals

Records include manual and procedures for internal use by the TCD staff members. These manuals incorporate AP guidance, AP Regulations, BIS/TCD policies, and the IAEA's Protocol Reporter User Manual, which is the application currently used to process industry reports and compile the U S. national declaration

Disposition - Temporary: These manuals and procedures are routinely revised. Retain until superseded or obsolete, and then destroy.

5.8.1 AP Reporting System (APRS) Instructional Manual*

Guidance for operating the APRS and an overview of the program. The manual is for internal use by TCD staff members The manual is revised as new procedures are established New pages are inserted to replace those that are obsolete.

Disposition - Temporary: Retain until superseded or obsolete, and then destroy

5.8.2 AP Report and National Declaration Guidance

Procedures and guidance for processing data reports, compiling national declarations and related matters **Disposition - Temporary:** This manual is revised as new procedures are established Retain until superseded or obsolete, and then destroy

* "This disposition will be effective when the system is completed and implemented"

5.8.3 AP Complementary Access Visit (CAV) Guidance

Procedures and guidance for conducting complementary access visits at commercial nuclear facilities.

Disposition - Temporary: This manual is revised as new procedures are established. Retain until superseded or obsolete, and then destroy.

6. AP Outreach Program

Workshops and seminars conducted by TCD staff to educate industry on their obligations under the AP program. Records include presentation slides, registration logs, questionnaires, hand-outs and publications. **Disposition - Temporary:**

Destroy when superseded or obsolete.

Biological Weapons Convention (BWC) Program Records

7. Biological Weapons Convention (BWC) Program Records:

7.1 BWC Program Operational

Records are reference copies of records that reflect changes in TCD's program components. Included are strategic plans, functional and mission statements.

Disposition - Temporary: Cut off files at end of calendar year. Retain until superseded or obsolete and then destroy.

7.2 Chronological Files

Copies of incoming and outgoing correspondence maintained for convenience of reference (example: FOIA request, controlled correspondence, cables, etc.).

The office will maintain an unclassified and classified chron file.

Disposition - Temporary: Cut off files at end calendar year. Destroy after 5 years or when no longer needed for current business.

7.3 BWC Working Paper Files

Paper files maintained by individual staff members that consist of background materials, working papers, extra copies, drafts, and technical specs or reference materials pertaining to individual assignments or projects.

Disposition - Temporary: Destroy on site when no longer needed for current business.

Reference: Supersedes Citation - Office of Non-Proliferation and Treaty Compliance's Record Schedule -- N1-476-03-2/22

TREATY COMPLIANCE DIVISION (TCD)

Information Systems

8. CWC Information Management System (IMS): Processes CWC data declarations (Schedule 1, 2, 3 chemicals and Unscheduled Discrete Organic chemicals (UDOC)), reports, end use certificates, Schedule 1 advance notifications, and support documentation. The IMS is used to process, validate, store, and aggregate CWC data from U.S. chemical facilities that produce, process, consume export or import chemicals to ensure that the U.S. complies with its obligations under the treaty. In addition, TCD's program records, such as paper declarations, reports, end-use certificates, chemical determinations, questions and answers, and other information, as appropriate, *are scanned, electronically filed and maintained in the IMS*. The IMS fulfills Government Paperwork Elimination Act (GPEA).

8.1 Recordkeeping copy - paper

Disposition - Temporary: Retain in the Treaty Compliance Division for the life of the program. Re-examine every 10 years and destroy when no longer needed for current business. See also 1.7.

8.2 Data files and images

Disposition - Temporary: Data stored in database for a minimum of 7 years. Store off-line on CD/DVD for 18 years (total age of data files and images not to exceed 25 years). Destroy when no longer needed for current business.

8.3 Documentation: Information Management System (IMS) Instructional

Manual provides guidance for operating the IMS and it also provides an overview of the program. The manual is for internal use by TCD staff members. The manual is revised as new procedures are established. New pages are inserted to replace those that are obsolete.

Disposition - Temporary: Retain until superseded or obsolete, and then destroy.

8.4 ~~Output - Reports -~~ management reports and ad hoc reports generated by TCD.

Disposition - Temporary: Retain until superseded or obsolete, and then destroy.

GOVERNED
by GFS 201
Item 5

Information Systems (continued)

9. ***Additional Protocol Reporting System (APRS):** Will process AP reports from industry and other relevant U.S. Government departments and agencies; will compile the draft AP declaration for interagency vetting and review by U.S. Congress; will compile the final AP declaration for transmission to the International Atomic Energy Agency (IAEA). The APRS will fulfill Government Paperwork Elimination Act (GPEA).

9.1 Recordkeeping copy - paper

Disposition - Temporary: Cut off file at end of calendar year. Retain in TCD for life of the program. Re-examine every 10 years and destroy when no longer needed. See. 5.5.

9.2 Data files and images

Disposition - Temporary: Data will be stored in database for a minimum of 7 years. Store off-line on CD/DVD for 18 years (total age of data files and images not to exceed 25 years). Destroy when no longer needed for current business.

~~9.3 Documentation: AP Reporting System (APRS)~~

~~Instructional manual will provide guidance for operating the APRS and it also provides an overview of the program. The manual is for internal use by TCD staff members. The manual will be revised as new procedures are established. New pages will be inserted to replace those that are obsolete.~~

~~**Disposition - Temporary:** Retain until superseded or obsolete, and then destroy.~~

GOVERNED BY
GRS 20,
ITEM 11(a)

~~9.4 Output - Reports~~

~~Management reports and ad hoc reports to be generated by TCD.~~

~~**Disposition - Temporary:** Retain until superseded or obsolete, and then destroy.~~

GOVERNED BY
GRS 20,
ITEM 5

*"This disposition will be effective when the system is designed and deployed".

Treaty Compliance Division (TCD)
Electronic Mail (email) and Word Processing System Document Guidance

~~10. Email that reflects agency business is treated like paper records and is preserved and disposed of in accordance to TCD's approved records schedule. Once an email is determined to be a record, it is filed with related records. To ensure proper documentation is retained, email messages are printed with attachments along with transmission data, which includes: sender of message, addressee(s), and the time of transmission.~~

~~10.1 Records that are created via electronic mail and word processing applications, that are located on the TCD Network in the G, K, L, P and H "personal" drives to generate recordkeeping copies of records are covered according to TCD's record schedule.~~

~~10.2 Copies that have no further administrative value after the recordkeeping copies are made, includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are only to produce the recordkeeping copy.~~

~~**Disposition - Temporary:** Destroy/delete after the recordkeeping copy has been produced.~~

~~10.3 Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.~~

~~**Disposition - Temporary:** Destroy/delete after dissemination, revision, or updating is completed.~~

GOVERNED BY
GAS 20, Items 10a
& b.