REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment): Department of Energy — Washington, DC 20585

2. MAJOR SUBDIVISION: Department-wide

3. MINOR SUBDIVISION:

4. NAME OF PERSON WITH WHOM TO CONFER: Mary Ann Wallace

5. TELEPHONE: 301 903 4353

LEAVE BLANK (NARA use only)

JOB NUMBER: N1-434-98-27

DATE RECEIVED: 6-2-98

NOTIFICATION TO AGENCY

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE: 11/30/98 — ARCHIVIST OF THE UNITED STATES

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 1 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,

☒ is not required; ☐ is attached; or ☐ has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
5/29/98	Mary Ann Wallace	Team Leader, Records Mgt.

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	DOE Defense Programs may from time to time suspend the disposal of DOE records (whole series or parts thereof) which contain information necessary to ensure the safety, security, and reliability of the nuclear weapons stockpile in support of the nuclear weapons Stockpile Stewardship Program. Authorization to resume disposal actions will be issued when the information has been captured and included in an appropriate information system. Covered by one or more items of N1-434-96-5 (DOE Records Schedule 3 Nuclear Weapons Records) NOTE: Changes to this schedule approved by DOE in a phone conversation with T Devcola, DOE/HR and R MacKay 7/28/98		

115-109 — NSN 7540-00-634-4064 PREVIOUS EDITION NOT USABLE — STANDARD FORM 115 (REV. 3-91) Prescribed by NARA 36 CFR 1228

RECORDS SCHEDULE - 3
NUCLEAR WEAPON RECORDS

1. NUCLEAR WEAPONS MANAGEMENT RECORDS

Nuclear weapons management records document the basis for the Department's nuclear weapons program management decisions, direction, policies, and responsibilities. The records include, but are not limited to, documents relating to interactions with the Department of Defense (DoD), and mission assignments and authorizations to the Design Agencies (DA), Production Agencies (PA), and Dismantlement Agencies. These records may be created by Headquarters, the Deputy Assistant Secretary for Military Applications and Stockpile Support (DASMASS), Departmental nuclear weapons program oversight offices, DoD offices and services, and Nuclear Weapons Complex agencies.

DESCRIPTION	DISPOSITION
A. Nuclear weapon records that define and establish policies, procedures and responsibilities for the design, development, production, surety, modification, repair, stockpile support, retirement, dismantlement, and final disposition of nuclear weapons. <u>Examples</u>: DOE orders and supplemental directives; DASMASS related directives; Memorandums of Understanding (MOUs) and Agreements; Engineering Procedures (EPs); and quality criteria.	
(1) Files maintained by DASMASS:	Permanent. Offer to NARA 5 years after canceled.
(2) Files maintained by design agencies and DOE designated dismantlement agencies:	Destroy when no longer needed for administrative or reference purposes. Refer to site specific schedules for local instructions.
B. Meeting minutes for standing committees, subcommittees, and working groups, such as, the Nuclear Weapons Council; Project Officer Groups; Safety, Security and Control; and Weapons Appraisal Process.	

DESCRIPTION	DISPOSITION
(1) Files maintained by DASMASS:	Permanent. Offer to NARA 5 years after final disposition of the last related weapon system.
(2) Files maintained by design agencies:	Destroy 5 years after final disposition of the last related weapon system or 25 years after project cancellation, whichever is later.
C. Annual report documentation:	
Examples: "Annual Report to the President on Nuclear Surety," "Annual Stockpile Improvement Review" by the Nuclear Weapons Council, "Annual Weapon Program Report" (AWPR), "Production and Planning Directive" (P&PD, "Nuclear Weapons Stockpile Memorandum" (NWSM).	
(1) Files maintained by DASMASS:	Permanent. Offer to NARA 25 years after issued.
(2) Files maintained by design agencies:	Destroy when no longer needed for administrative or reference purposes. Refer to site-specific schedules for local instructions.
D. Budgeting and planning records and weapon system audits:	Destroy 3 years after final disposition of the last related weapon system or 25 years after project cancellation, whichever is later.
Examples: Production or Program Control Documents (PCDs), Long Range Planning Document (LRPD), Workload Planning Guidance (WPG), Sector Operations Plans, Planning Information Document (PID), General Accounting Office (GAO) final audit reports.	
E. Strategic studies including, but not limited to:	
(1) Technology, new initiatives, strategic business, and environmental studies:	Destroy 10 years after final report is issued.

DESCRIPTION	DISPOSITION
(2) Strategic offense and defense, arms control, and conventional and tactical weapons studies:	Destroy 20 years after final report is issued.
(3) Nuclear weapon studies of approved phases and other options:	
(a) Files maintained by the Department's Weapons Program Division (WPD):	Permanent. Offer to NARA 5 years after final disposition of the last related weapon system.
(b) Files maintained by design agencies:	Destroy when no longer needed for administrative or reference purposes. Refer to site-specific schedules for local instructions.
F. Management supporting documentation to categories A - E and not covered elsewhere in this section, such as drafts with no substantive comments, correspondence, memorandums, briefings, status reports, reports from other agencies, technical inquiries, data processing tools, source material determined to have no enduring value, and reference material not needed for documentary purposes:	Destroy when superseded, obsolete, or no longer needed.

2. NUCLEAR WEAPONS DEVELOPMENT RECORDS

Nuclear weapons development records document concepts, research, testing, and lessons learned during the development and prototyping of a nuclear weapon. Nuclear weapon development engineering and testing records document the conception, design and testing of a manufacturable nuclear weapon system and its test and training weapons, test equipment, ancillary equipment, and acceptance equipment as required or for exploratory and advanced development projects. These records characterize the balance of primary requirements, reliability, quality, surety, and resource considerations necessary for each nuclear weapon system that helps comprise the United States' nuclear deterrent. These records document the evolution of nuclear weapons, thought processes and key trends since 1943.

DESCRIPTION	DISPOSITION
A. Nuclear weapon development studies are divided into 3 categories of records: (1) programmatic development that enters stockpile, (2) programs that do not enter stockpile, and (3) supporting documentation for (1) and (2) that has been reduced or has no enduring need.	
(1) Formal reports, supporting documentation, and test documentation relating to nuclear weapon studies for which a formal report was published:	Destroy 5 years after final disposition of the last related weapon system.
<u>Examples</u>: Phase 1 Study Report, Major Impact Report, Weapons Design and Cost Report (WDCR), and Phase 2A Study Report.	
(2) Nuclear weapons development studies for which a final report was not published:	Destroy 20 years after the study is terminated.
(3) Study documentation including, but not limited to, handwritten notes, correspondence, memorandums, study group documentation, meeting agendas, schedules, calculations, systems design drafts, computer modeling, and preliminary computer aided design/computer aided engineering (CAD/CAE) designs:	Destroy 6 months after issuance of formal report.

DESCRIPTION	DISPOSITION
B. Nuclear weapon program requirements, including records that document military requirements for nuclear weapons. Examples: Military Characteristics (MCs), Stockpile-To-Target Sequence (STS), Interface Control Documents (ICD), Major Assembly Releases (MAR), Emergency Capability Releases (ECR), and Compatibility Control Documents, such as, Aircraft Compatibility Control or Warhead Compatibility Control (ACCD and WCCD) Documents.	
(1) Files maintained by DASMASS:	Permanent. Offer to NARA 5 years after final disposition of the last related weapon system or 20 years after project cancellation, whichever is later.
(2) Files maintained by design and production agencies:	Destroy 5 years after final disposition of the last related weapon system or 20 years after project cancellation, whichever is later.
C. Nuclear weapon development reports. EXAMPLES: System, Component, and Process Development Reports.	
(1) Files maintained by DASMASS:	Permanent. Offer to NARA 5 years after final disposition of the last related weapon system or 10 years after project cancellation, whichever is later.
(2) Files maintained by design agencies:	Destroy 5 years after final disposition of the last related weapon system.
D. Non-Nuclear weapon systems engineering records maintained to assist in project management, coordination, and oversight of weapons programs from	Destroy 5 years after final disposition of the last related weapon system.

DESCRIPTION	DISPOSITION
development engineering through dismantlement and disposal:	
E. Records for weapons programs canceled prior to production engineering authorization, and records created by design and production agencies during development engineering, but where full-scale production is not authorized:	Destroy 10 years after program has been canceled.
NOTE: If the program is not canceled, these records are covered under the other sections of this Nuclear Weapons Development Records schedule.	
F. Development engineering testing of nuclear weapons components and subsystems, but EXCLUDING Nuclear Device Testing records:	Destroy 5 years after final disposition of the last related weapon system.
NOTE: If the testing is surety related, refer to item 5A.	
G. Nuclear weapon program management and review group documentation of committees, review groups, and study groups that address overarching topics, such as, nuclear weapons systems development and safety.	
Examples: Design Review and Acceptance Group (DRAAG), Nuclear Explosives, Safety Study/ Survey Group (NESSG), Nuclear Weapon System Safety Group (NWSSG), Joint Test Working Group (JTWG), and Stockpile Flight Test Group.	
(1) Formal Minutes:	
(a) Files maintained by DASMASS:	Permanent. Offer to NARA 5 years after final disposition of the last related weapon system.

DESCRIPTION	DISPOSITION
(b) Files maintained by design agencies:	Destroy 5 years after final disposition of the last related weapon system.
(2) Supporting documentation such as drafts, correspondence, briefings, and reports:	Destroy when no longer needed. Refer to site-specific schedules for local instructions.
H. Development supporting documentation to categories A - G and not covered elsewhere in this section such as drafts with no substantive comments, correspondence, memorandums, briefings, status reports, reports from other agencies, technical inquiries, data processing tools, source material determined to have no enduring value, and reference material not needed for documentary purposes:	Destroy when superseded, obsolete or no longer needed.

3. DESIGN DEFINITION RECORDS

Nuclear weapon design definition records are the graphical representations, specifications, and textual documents necessary to produce the parts that comprise a nuclear weapon and its trainers, test, ancillary, and acceptance equipment. The records incorporate performance requirements and characteristics required for the function, reliability, interchangeability, and safety of weapon components and assemblies used in the manufacturing and reprocessing of a nuclear weapon system. All products in the stockpile are produced from an official drawing, which is formally released by the design agency to the appropriate production agency(ies).

DESCRIPTION	DISPOSITION
A. Design definition records for nuclear weapons, their constituent parts, and non-nuclear components that did not enter stockpile, but EXCLUDING the nuclear pit: *Examples: graphical drawings, schematics, specifications, standards, material lists, special packaging requirements, and product indices.*	Destroy 5 years after final disposition of the last related weapon system or 10 years after project cancellation or project completion, whichever is later.
B. Design definition records for nuclear weapon pits. *Examples: graphical drawings, schematics, specifications, standards, material lists, special packaging requirements, and product indices.*	
(1) Files for pits that entered stockpile:	Destroy when the pit is finally disposed of and is no longer needed for reference.
(2) Files for pits that did not enter stockpile:	Destroy when the pit is finally disposed of, or 10 years after project cancellation and is no longer needed for reference.
C. Design definition records for ancillary equipment: *Examples: graphical drawings, schematics, specifications, standards, material lists, special packaging requirements, and product indices.*	Destroy 5 years after final disposition of the equipment or 10 years after project cancellation, whichever is later.

DESCRIPTION	DISPOSITION
D. Design definition supporting documentation to categories A - C and not covered elsewhere in this section, such as drafts with no substantive comments, correspondence, memorandums, briefings, status reports, reports from other agencies, technical inquiries, data processing tools, source material determined to have no enduring value, and reference material not needed for documentary purposes:	Destroy when superseded, obsolete, or no longer needed.

4. ENGINEERING AUTHORIZATION DOCUMENTATION

Engineering authorization documentation control and record information such as the effective date of product changes, action authorizations, and disposition of non-conforming material for weapon and weapon related products in either pilot production or production. The documents are issued by the DAs or the PAs.

DESCRIPTION	DISPOSITION
A. Engineering authorization documents: *Examples; Change Orders (COs), Engineering Instructions (EIs), Engineering Releases (ERs), Special Exception Releases (SXRs), Stop Production Notices, Waivers, and Retire/Archive Instructions.*	Destroy 5 years after final disposition of the last related weapon system.
B. Engineering authorization supporting documentation such as drafts with no substantive comments, correspondence, memorandums, briefings, status reports, reports from other agencies, technical inquiries, data processing tools, source material determined to have no enduring value, and reference material not needed for documentary purposes:	Destroy when superseded, obsolete, or no longer needed.

5. NUCLEAR SURETY RECORDS

Nuclear surety records encompass nuclear safety, security and use control aspects of nuclear weapon systems, nuclear weapons, nuclear weapon components, nuclear devices, and their associated operations, technologies and auxiliary equipment. Documentation includes design, performance validation and verification, independent assessment, and relevant emergency response information.

DESCRIPTION	DISPOSITION
A. Formal design information or significant development results related to the safety, security, and use control aspects of nuclear weapon systems, nuclear weapons, nuclear weapon components, and their associated technologies and auxiliary equipment, including, but not limited to, publications, formal documents, and verification/validation (including negative) results.	
(1) Summary reports and associated references.	
Examples: Final Development Reports and associated nuclear safety (NS) documents.	
(a) Files maintained by DASMASS:	Permanent. Offer to NARA 5 years after final disposition of the last related weapon system.
(b) Files maintained by design agencies:	Destroy when no longer needed for administrative or reference purposes. Refer to site-specific schedules for local instructions.
(2) Source data:	Destroy 20 years after either the completion of the design or test, or final hardware disposition, whichever is later.

DESCRIPTION	DISPOSITION
B. Formal surety studies, analyses, surveys, and reports published by the DOE, DoD or another Federal agency in which the DOE and/or DOE representatives participate. Documentation includes Nuclear Explosives Safety Study/Survey Group (NESSG), Nuclear Weapon System Safety Group (NWSSG), weapon appraisal process (WAP), and Red Teams reports, as well as, special, formal studies undertaken at DOE, DoD, or Nuclear Weapons Council request.	
(1) Files maintained by DASMASS:	Permanent. Offer to NARA 5 years after final disposition of the last related weapon system.
(2) Files maintained by the design agencies:	Destroy when no longer needed for administrative or reference purposes. Refer to site-specific schedules for local instructions.
C. Formal surety studies published by DOE contractors, including internal studies related to surety issues, performance, or decision making.	
(1) Summary reports and associated references.	
Example: Safety Assessment Reports.	
(a) Files maintained by DASMASS:	Permanent. Offer to NARA 5 years after final disposition of the last related weapon system.
(b) Files maintained by design agencies:	Destroy when no longer needed for administrative or reference purposes. Refer to site-specific schedules for local instructions.
(2) Source data:	Destroy 20 years after either the completion of the design or test, or final hardware

DESCRIPTION	DISPOSITION
	disposition, whichever is later.
D. Formal DOE reports associated with accidents or incidents involving nuclear explosives or weapons.	
(1) After action reports, final reports, and supporting documentation.	
(a) Files maintained by DASMASS:	Permanent. Offer to NARA 5 years after final disposition of the last related weapon system.
(b) Files maintained by design agencies:	Destroy when no longer needed for administrative or reference purposes. Refer to site-specific schedules for local instructions.
(2) Source data:	Destroy 20 years after final disposition of the last related weapon system.
E. Formal DOE reports associated with emergency response exercises involving (mock) nuclear explosives or improvised nuclear devices (INDs):	Destroy 5 years after related technology or operational procedures are superseded.
F. Nuclear explosive and weapon safety program documentation including, but not limited to, meeting minutes, planning and scheduling documents, procedures, briefings, memoranda, notes, charts, self-appraisals, memos and other records not already covered:	Destroy when superseded or canceled.
G. Nuclear surety supporting documentation to categories A - F and not covered elsewhere in this section, such as drafts with no substantive comments, correspondence, memorandums, briefings, status reports, reports from other agencies, technical inquiries, data processing tools, source material determined to have no enduring value, and reference material not needed for documentary purposes:	Destroy when superseded, obsolete or no longer needed.

6. NUCLEAR DEVICE AND EFFECTS TESTING RECORDS

Nuclear device and effects testing records document device performance, weapons effects, and weapons reliability as observed in atmospheric and underground testing. Because treaties now restrict or prevent new testing, it is not possible to obtain new data that may be needed for future evaluations by traditional means. There are two types of tests: nuclear device tests and nuclear effects tests. A nuclear device test is an evaluation of a prototype/developmental design, or a proof test of a war reserve design. Nuclear device testing records document device characteristics that determine safety margins and reliability including subcritical high explosive tests (zero yield tests). Nuclear effects tests are either DOE sponsored or other Agency sponsored. Nuclear effects testing records document the outputs (blast, thermal, radiation, etc.) from a nuclear device and their interaction with and impact on components and external hardware.

DESCRIPTION	DISPOSITION
A. Nuclear Device Testing.	
(1) Management and planning records including, but not limited to, detonation authority and programmatic approvals documentation; test calendars and checklists; epidemiological related records; budgeting and planning; safety, health, hazard, and containment reports; interagency agreements; security and intelligence information; formal reports; and public communications:	Permanent. Cut off project file 5 years after test event. Offer to NARA 25 years after cut off.
(2) Design and construction records including, but not limited to, device and detector design files; cable connector placement files; power systems; materials; sample analyses; design planning; construction and construction completion information; and drawings, such as surveys and drilling records of bore and emplacement holes and tunnels:	Destroy 75 years after test event.
(3) Test event records including all files associated with pretest, test, and post test data collection including, but not limited to, calculations; engineering files and logbooks; raw data and shot data;	Destroy 75 years after test event.

DESCRIPTION	DISPOSITION
photographs; x-rays; weather, atmospheric, telemetry, and environmental monitoring data; and sensor data:	
(4) Administrative files and other documentation not included in items (1), (2), and (3):	Destroy when 2 years old, canceled, or superseded, whichever is later.
B. DOE sponsored effects testing project management documentation, testing instrumentation records, and scientific and experimental effects information, as described in Other-Agency sponsored testing.	
(1) Formal Reports maintained by the DOE sponsoring agency:	Permanent. Cut off project file 5 years after test event, offer to NARA 25 years after cut off.
(2) Working Papers and Supporting Documentation:	Destroy 5 years after the event if no longer needed for legal or reference purposes.
C. Other Agency sponsored effects testing.	
(1) Project management documentation including event correspondence, project plans, project management references and reports, quality control records, and quality assurance tests: *Examples: external, internal, and sponsor required technical correspondence, experiment drawings, grounding and shielding plans, and documentary photographs.*	Destroy 5 years after the event. Refer to site-specific schedules for local instructions. **NOTE:** *The sponsoring agency is responsible for the maintenance and offer of permanent documentation to NARA.*
(2) Testing instrumentation records including instrumentation system documentation, characterization data and special files, and event data. Testing instrumentation records vary from test to test and may not include all the documentation listed. The records listed are based upon	Destroy 75 years after the event if no longer needed for legal or reference purposes. **NOTE:** *The sponsoring agency is responsible for the maintenance and offer of permanent documentation to*

DESCRIPTION	DISPOSITION
experience gathered during validation of past events:	*NARA.*
Examples: Instrument-experiment engineer's notebook, and validation analyses; gage accuracy and/or error bars, and calibration and data configuration; pre-event data for calibration runs, mandatory full-participation dry run and final dry run; auxiliary data files, converted raw data (event and calibration); and instrument systems processed engineering data.	
(3) Nuclear effects scientific and experiment information covers a broad category of experiments including device nuclear radiation, fireball, debris, optical effects, thermal radiation, electromagnetic pulse (EMP) effects, free field, de-coupling, seismic, other geological, cratering, ejecta, dust, target nuclear radiation, materials, weapon components, weapon sub system, weapon systems, pipe containment, fallout, underground cavity formation, biological, instrument systems development, gage development, and structure and equipment effects:	Destroy 75 years after the event if no longer needed for legal or reference purposes. **NOTE:** *The sponsoring agency is responsible for the maintenance and offer of permanent documentation to NARA.*
Examples: Test engineering files, general experiment documentation and references, and experiment specifics.	
(4) Working papers and supporting documentation to items (1), (2) and (3); nonconverted raw data; and projects planned but not executed:	Destroy 5 years after the event or project cancellation if no longer needed for legal or reference purposes.
D. Simulated nuclear weapons effects testing records document the actual experiments and calculations that are undertaken to quantify and understand phenomenon caused by ionizing radiation environments.	

DESCRIPTION	DISPOSITION
(1) Above Ground Testing (AGT) Program and Project Management Records:	
(a) Program and Project memoranda, budgeting, project data documents, and white papers:	Destroy when 3 years old if no longer needed for legal or reference purposes.
(b) Administrative decision making support documentation, and view-graphs:	Destroy when no longer needed for legal or reference purposes. Refer to site-specific schedules for local instructions.
(2) Above Ground Testing (AGT) Experimental Data and Software Analyses Records:	
(a) Final Project data records, memoranda, data analyses, calculations, and documentation of results, log books, experiment design and planning, fabrication, design review, data records, data analyses, experiment results, and lessons learned documentation:	If appropriate, transfer to responsible Weapon Program Manager, upon request. Destroy 3 years after project completion.
(b) Test Articles:	If appropriate, transfer to responsible Weapon Program Manager, upon request. Destroy when no longer needed for reference purposes.
(c) Supporting documentation including, but not limited to, data processing tools, quick look memos, memoranda, and daily project records:	Destroy when no longer needed for reference purposes. Refer to site-specific schedules for local instructions.
(3) Test Facilities Data Records documenting experimental data collected for radiation effects, neutron, EMP, Gamma, Gamma dot, x-ray, and thermo pulse tests and used to permit the resolution of anomalies, to expand data analyses, and to evaluate additional data collected.	

DESCRIPTION	DISPOSITION
(a) Data and logbooks:	Destroy 10 years after data collection, if no longer relevant.
(b) Supporting documentation including, but not limited to, drafts, technical inquiries, DoD directives, correspondence, and memorandums:	Destroy when no longer needed for reference purposes. Refer to site-specific schedules for local instructions.

7. PRODUCTION, FABRICATION AND TEST RECORDS:

Production, fabrication and test records document the production and testing of weapon components and systems, manufacturing processes, and conformance to specifications and reliability requirements.

DESCRIPTION	DISPOSITION
A. Fabrication records.	
(1) Production instructions for fabrication, assembly, and dismantlement processes; tools and gages; acceptance equipment for weapon components, assemblies, and ancillary equipment:	Destroy 5 years after final disposition of the last related weapon system.
(2) Production agency process manuals, production agency operating procedures (forms and completed forms), and travelers (forms and completed forms):	Destroy 5 years after final disposition of the last related weapon system.
(3) Pit assembly records created during the manufacture of pit components and assemblies, such as product history records, procedures, manufacturing instructions, material certification information, destructive and non destructive test results, compatibility test results, and product surveillance reports.	
(a) Files for pits that entered stockpile:	Destroy when the pit is finally disposed of <u>and</u> is no longer needed for reference.
(b) Files for pits that did not enter stockpile:	Destroy when the pit is finally disposed of <u>and</u> is no longer needed for reference.
(4) Canned Subassembly (CSA) records created during the manufacture of CSA components and assemblies, such as product history records, procedures, manufacturing instructions, material certification information, destructive and non destructive test results, compatibility test results, and product surveillance reports:	Destroy after final disposition of the CSA.

DESCRIPTION	DISPOSITION
(5) Software for nuclear weapons or nuclear weapon related material:	Cut off upon technology upgrade. Destroy previous version 3 years after upgrade.
B. Test and manufacturing data (production inspection and test data).	
(1) Records required by the design agency and/or the production agency, such as, lot record books, technical manuals, analytical reports, and engineering drawings, but EXCLUDING Limited Life Component (LLC) records:	Destroy 5 years after final disposition of the last related weapon system.
(2) Records maintained by the production agency but not required by the design agency, such as, engineering and scientific notebooks, purchase orders, transfer documentation (that are not part of the lot record books), and vibration/shock/ drop test records, but EXCLUDING Limited Life Component (LLC) records:	Destroy 1 year after superseded or project cancellation.
(3) Records associated with a Limited Life Component (LLC):	Destroy 6 months after component is destroyed.
C. Weapon assembly and/or disassembly data.	
(1) The Record of Assembly (ROA) and Record of Disassembly (ROD) databases, and all logs, lot record books, databases, or schedules that provide fabrication and assembly traceability trail for serial numbered products:	Destroy 5 years after final disposition of the last related weapon system.
(2) Supporting information including source data, such as, Weapon Information Reports (WIR), Nuclear Ordnance Reports, and other military reports:	Destroy after data entry is verified.
(3) Database documentation:	Destroy when superseded, or upon authorized deletion of related master file of database.

DESCRIPTION	DISPOSITION
D. Production, fabrication and test supporting documentation to categories A - C and not covered elsewhere in this section, such as drafts with no substantive comments, correspondence, memorandums, briefings, status reports, reports from other agencies, technical inquiries, data processing tools, source material determined to have no enduring value, and reference material not needed for documentary purposes:	Destroy when superseded, obsolete, or no longer needed.

8. QUALITY ASSURANCE RECORDS

Quality assurance records document the degree of conformance to design, periodic inspections to determine functional stockpile readiness, and actions taken to produce and improve product or processes. Quality records serve as the documentary evidence that the product meets DOE requirements, and provide documentation of the adherence to the design, development, and production process requirements.

DESCRIPTION	DISPOSITION
A. Material qualification records, e.g., material certification and material acceptance information documenting the material history:	Destroy 5 years after final disposition of the last related weapon system.
B. Material certifications, e.g. DOE certification that weapons material meets War Reserve (WR) quality standards and requirements, and can be released to the military.	
(1) Certificates of inspection:	Destroy 3 years after issuance, when superseded, obsolete, or no longer needed, whichever is later.
(2) Pit material and tritium reservoir certifications:	Destroy after the component completes final disposition.
C. Quality assurance audits and supporting documentation including, but not limited to, supplier surveys, audit reviews, audit responses, monthly reports of audit finding progress, material reports, correspondence, memoranda, and acquired reference material:	Destroy 3 years after issuance, when superseded, obsolete, or no longer needed whichever is later, per site specific-schedule.
D. Quality assurance supporting documentation to categories A - C and not covered elsewhere in this section, such as drafts with no substantive comments, correspondence, memorandums, briefings, status reports, reports from other agencies, technical inquiries, data processing tools, source material determined to have no enduring value, and reference material not needed for documentary purposes:	Destroy when superseded, obsolete, or no longer needed.

9. STOCKPILE SUPPORT RECORDS

Military Liaison documentation provides guidance, information exchange, and support relating to DoD Service maintenance actions and repair for defective and/or damaged weapons or weapon components, inspections, modifications, alterations, or component changes of nuclear weapons. Technical publications and records provide management, policy, procedures, information, and data for nuclear weapons the maintenance and employment of nuclear weapons in Service custody.

DESCRIPTION	DISPOSITION
A. Joint Nuclear Weapons Publication System (JNWPS), i.e., Technical Publications (Tps) Records.	
(1) Weapon specific material, test and handling equipment publications, and all page changes:	Destroy 5 years after the specified weapon system and its trainers have completed dismantlement.
(2) General publications, e.g., nuclear weapons management procedures, information, and data related to general subject areas, such assembly, test, maintenance and storage, explosive ordnance disposal, indices, inspection, retrofit orders, safety, use control, and supply:	Destroy when superseded or canceled.
(3) Development documentation including, but not limited to, drafts of technical publications, correspondence, memos, facsimile messages, and other supporting documents:	Destroy 1 year after publication of a weapon system's final Technical Publication or when project is canceled, whichever is later.
B. Weapons retrofit documentation, including sequence of retrofit milestones, product change proposals, field retrofit procedures, retrofit orders, budget/costs, etc.:	Destroy 1 year after the specified weapon system and its trainers have completed dismantlement.
C. Spare parts list, base and military spares, field replacement documentation:	Destroy 1 year after the specified weapon system and its trainers have completed dismantlement.

DESCRIPTION	DISPOSITION
D. Unsatisfactory Reports (URs) and supporting documentation including, but not limited to, responses, reconciliation reports, resolution reports, photographs, inspection record cards, drawings, and other supporting data:	Destroy 1 year after the specified weapon system and its trainers have completed dismantlement.
E. Stockpile support supporting documentation to categories A - D and not covered elsewhere in this section, such as drafts with no substantive comments, correspondence, memorandums, briefings, status reports, reports from other agencies, technical inquiries, data processing tools, source material determined to have no enduring value, and reference material not needed for documentary purposes:	Destroy when superseded, obsolete, or no longer needed.

10. NEW MATERIAL AND STOCKPILE EVALUATION PROGRAM RECORDS

New Material And Stockpile Evaluation Program (NMSEP) records document the evaluation of nuclear weapon systems, subsystems and components during production, and throughout their stockpile life. Test records document the degree of conformance of War Reserve material to design and reliability requirements throughout production and stockpile life as set forth in the Military Characteristics, and allow for detection of unsuspected age-related degradation. Test data are used to assess weapon reliability, to confirm the validity of development and product-acceptance test results, to verify the integrity of weapon safety features, and to demonstrate the continued compatibility between DOE and DoD material.

DESCRIPTION	DISPOSITION
A. Formal Reports, such as, the final Cycle Reports (Stockpile Evaluation Reports), Significant Finding Investigation Reports (SFIR), but EXCLUDING cumulative system summary reports:	
(1) Design Agencies:	Permanent. Offer to NARA 10 years after final disposition of the last related weapon system.
(2) Contributory reports to the final cycle report:	Destroy when no longer needed for reference purposes. Refer to site-specific schedules for local instructions.
B. Requirements and procedures including, but not limited to, laboratory system test and flight test requirements, tester operation and maintenance instructions (O&MIs), and test equipment software:	Destroy when superseded, project is canceled, or at final disposition of the last related weapon system. Refer to site-specific schedules for local instructions.
C. Test plans, schedules, and general correspondence including, but not limited to, New Material and Stockpile Evaluation Plan (NMSEP); Nuclear Weapon Subsystem Test Plan (NWSSTP); status reports; meeting and committee minutes; and correspondence related to the performance of NMSEP:	Destroy when superseded or project is canceled.

DESCRIPTION	DISPOSITION
D. Cumulative system summary reports including, but not limited to, formal summary reports on the NMSEP and both formal and informal summaries of weapon defects:	Destroy 25 years after publication.
E. Reports from other agencies including, but not limited to, Air Force flight test reports; test range instrumentation reports; and evaluation reports of weapon materials sent to DOE production agencies:	Destroy upon publication of the formal Cycle Report for the related weapon system.
F. Supporting documentation including, drafts, memorandums, notes, charts, and records not covered by previous categories A - E:	Destroy when superseded, obsolete, or no longer needed.
G. Raw laboratory test data and photographs including, but not limited to, explosive and electronic component data.	
(1) War~~e~~ Reserve (WR) acquired data including original photographs, but EXCLUDING oscillograms:	Destroy when the referenced weapon program completes final disposition.
(2) Forms and data log sheets used for data entry:	Destroy after data entry is verified.
(3) Oscillograms and backup copies of WR acquired data:	Destroy at the beginning of 2nd cycle of testing after the cycle in which the test data is recorded.
(4) Data compilation from raw data:	Destroy when superseded, obsolete, or no longer needed.
H. Flight test magnetic tapes:	Destroy after flight data analysis is completed for the given flight. Data is incorporated into WR Acquired Data.

DESCRIPTION	DISPOSITION
I. Reliability Records.	
(1) Formal reports, i.e., weapon system and component level reliability assessment reports, including DOE, DoD, and joint DoD/DOE reports:	Destroy 10 years after final disposition of the last related weapon system.
(2) Requirements and procedures, including, but not limited to, the Nuclear Weapon Reliability Evaluation Methodology Guide:	Destroy when superseded.
(3) Supporting documentation to the final report, such as, memorandums, notes, spreadsheet and other computer files, cumulative database files, general correspondence related to the reliability performance of a nuclear weapon system, subsystem, or component:	Destroy 10 years after final disposition of the last related weapon system.
(4) U.S. DOE Weapons Reliability Reports (U), and Historical Reliability Assessment Profiles of Retired Weapons Report (U).	
(a) Files maintained by DOE's Weapons Quality Division (WQD):	Permanent. Offer to NARA 5 years after final disposition of the last related weapon system.
(b) Files maintained by design agencies:	Destroy when no longer needed for administrative or reference purposes. Refer to site-specific schedules for local instructions.
(5) Cumulative profiles of weapon reliability assessments reports for weapons in the current stockpile:	Destroy when superseded.
(6) Special studies on weapon system or component reliability:	Destroy 10 years after final disposition of the last related weapon system.
(7) Reliability records for weapon programs canceled prior to production engineering authorization.	

DESCRIPTION	DISPOSITION
(a) Data related to WR material:	Destroy 10 years after either final disposition of the last related weapon system or project cancellation.
(b) Data <u>not</u> related to WR material:	Destroy 10 years after project cancellation.
J. Safety Evaluation for Surveillance (SES) Documentation.	
(1) SES Package including, but not limited to package data index; current SES planning document; copies of applicable design drawings and specifications; tooling and equipment design drawings; results of precision and capability studies of equipment used in the surveillance process; observations and any resultant action documentation; initial Safety Evaluation Release for Surveillance [SER(S)]; and the final SES Report.	
(a) Files maintained by DOE Designated Surveillance Agencies:	Destroy 1 year after final disposition of the last related weapon system.
(2) Draft and support documentation that are circulated and contain comments used to record the decision making process:	Destroy 6 months after issuance of final SES Report.

11. RETIREMENT AND DISMANTLEMENT PROCESS RECORDS

Retirement and dismantlement process records document the process that is required to safely reduce weapon assemblies into the constituent parts. These records document the chain of custody and the disposition for each part or component of a nuclear weapon that is permanently removed from the stockpile.

DESCRIPTION	DISPOSITION
A. Retirement Disposition Instructions (RDI) including, but not limited to, complete characterization of all constituent parts and instruction for the packaging and storage of the specified parts.	
(1) Files maintained by DOE designated Dismantlement Agencies:	Destroy 5 years after final disposition of the last related weapon system.
B. Qualification Evaluation for Dismantlement (QED) Documentation.	
(1) QED Package, including but not limited to, index of data package; current QED planning document; copies of applicable design drawings and specifications; production agency's disassembly, packaging, storage, and disposition processing documents; tooling and equipment design drawings; results of precision and capability studies of equipment used in the disassembly process; observations and any resultant actions; applicable dismantlement development reports; initial Qualification Evaluation Release for Dismantlement [QER(D)]; and the final QED Report.	
(a) Files maintained by DOE designated Dismantlement Agencies:	Destroy 5 years after final disposition of the last related weapon system.
(2) Draft and support documentation that are circulated and contain comments used to record the decision making process:	Destroy 6 months after dismantlement.

DESCRIPTION	DISPOSITION
C. Weapon unit folders, including, but not limited to, itemization of each step taken during the disassembly process, Records of Disassembly (ROD); inspection records; various unit/component testing records; and Engineering Instructions (EIs):	Destroy 6 months after final disposition of the last related weapon system.
D. Component material evaluation forms:	Destroy 5 years after final disposition of the last related weapon system.
E. Final characterization of material and component forms.	
(1) DOE designated dismantlement agencies:	Destroy 5 years after final disposition of the last related weapon system.
F. Packaging documentation and manifests for shipment of component parts for reclamation by DOE or other government agency:	Cut off annually. Destroy 10 years after shipment.
G. Database systems in support of internal and external reporting requirements pertaining to nuclear material inventories, transfer activities, and inventory adjustments. These systems cover all nuclear material and configurations containing nuclear materials from receipt through final disposition and/or shipment:	Maintain in agency until no longer needed for administrative, legal, or reference purposes.
H. Retirement and dismantlement process supporting documentation to categories A - G and not covered elsewhere in this section, such as drafts with no substantive comments, correspondence, memorandums, briefings, status reports, reports from other agencies, technical inquiries, data processing tools, source material determined to have no enduring value, and reference material not needed for documentary purposes:	Destroy when superseded, obsolete, or no longer needed.

Glossary

Definitions for terminology used in this schedule may be found in TP 4-1, Glossary of Nuclear Weapons Material and Related Terms, DOE/AL Development and Production Manual (D & P), Quality Assurance Procedure (QAP) Manual , Quality Criteria (QC-1, QC-2) and Engineering Procedures. Definitions not found in TP 4-1 are listed below:

Acceptance Equipment Measurement System. A Measurement & Test Equipment (M&TE) system that provides quality evidence to substantiate presentation of material to DOE for acceptance. The system may be composed of hardware, software, firmware, and procedures and is used to inspect chemical, physical, or electrical characteristics for the purpose of acceptance. Acceptance equipment includes, but is not limited to, Product Testers (PT), Gages (G), Non-destructive Test (NDT) systems, adapters, fixtures, connectors, and environmental simulators. Special equipment, commercial equipment, programmable measuring systems, and related procedures may also be considered as acceptance equipment.

Certification. A process, culminating with authenticated documentation, that a piece of equipment or an individual is qualified to perform a process or operation within specified limits or that material conforms to specified requirements. Certification is based on an evaluation conducted according to a defined and documented plan that is designed to assure that minimum requirements are met.

Change Order (CO). A change authorization issued before the document changes are all incorporated in new document issues (ACO) or a change authorization issued concurrently with the release of new document issues (FCO).

Cut off. The breaking of records in a series or system to permit their disposal or transfer in complete blocks and to permit the establishment of new files. *In files management, the term "cut off" refers to the breaking of a record series at regular intervals to permit their transfer from active to inactive status and subsequent disposition. Cutting off a record series allows the records to be transferred to inactive storage in complete blocks and permits the establishment of new files. Cut offs are usually included in operational procedures and may be on an annual basis (calendar or fiscal year), or termination of a project. If the disposition instructions contain a "cut off" statement, a time period is specified before final disposition occurs. This process is applied to series that are scheduled and their disposition has been authorized by NARA.*

The Deputy Assistant Secretary for Military Applications and Stockpile Support **(DASMASS)** The Deputy Assistant Secretary for Military Applications and Stockpile Support (DASMASS) carries out DOE's responsibilities to achieve national security objectives established by the President. The DASMASS's mission is to reduce the global nuclear danger by planning for and maintaining a safe, secure, and reliable stockpile of nuclear weapons, associated materials, capabilities, and technologies. Primary importance is placed upon safety operations, the safety and health of the nuclear workforce, environmental protection, and cost effective management of the nuclear weapons program. In addition, national support for nonproliferation and arms control policies, and nuclear emergency response capabilities are provided.

Design Agency (DA). A DOE contractor responsible for the design of DOE weapons and weapons-related material and the integrity of the design through stockpile life.

Dismantlement Process. The disassembly of weapon assemblies, including major assemblies and HE assemblies and the disposition of subsystems, components, piece parts, and material.

Emergency Capability Release (ECR). An ECR is a special category in the Major Assembly Release (MAR) system that is issued when all MAR prerequisites have not been satisfied, but an emergency capability requirement has been established by the DoD. An ECR may be issued for a bomb or warhead system (includes Test (T), Handling (H), and Disablement (DE) equipment). Joint Test Assemblies (JTA's) and TYPE assemblies are not released by an ECR. All major assemblies identified by the same program number will be included in a single release. Limitations to the designated major assembly resulting from or related to T, H, or DE items are included in the ECR.

Engineering Release (ER). An official Department of Energy (DOE) design agency communication which authorizes the use of engineering information as specifically delineated therein. For weapon products, this is the method used to release information to and authorize action by a PA (e.g., to prepare for production, or to fabricate limited quantities of directive schedule units, or to authorize the use of the listed minimum product definition for fabrication of production quantities of parts, subassemblies or assemblies to meet directive schedule requirements).

Final disposition. The process of reducing nuclear weapon assemblies and their trainers, into constituent parts that have been demilitarized and sanitized, i.e., these materials are no longer available for weaponization.

Nuclear Explosive. Any assembly containing fissionable or fissionable and fusionable materials and main high explosive parts or propellants capable of producing a nuclear detonation (e.g., a nuclear weapon or a test device).

Nuclear Weapon. A nuclear explosive configured for operational use by DOE and employed by DoD.

Production Agency (PA). A DOE management and operating contractor responsible for manufacture or procurement, inspection, acceptance, testing, packaging, and shipment of weapon materials in conformance with design agency specifications.

Product Definition Requirements. The set of documents and specifications released by the DA for design, manufacture, and acceptance of a product or acceptance equipment. The document set does not include design interface control documents, nor does it include PA travelers, flow sheets, etc.

Qualification. The process of determining that product design and associated manufacturing and acceptance processes are capable of providing product that meets customer requirements.

Quality Assurance Survey. A planned and documented activity, performed in accordance with procedures, intended to communicate and effect improvements where needed, and maintain cognizance of contractor performance upon which to base government acceptance of material or verify contractor certifications.

Quality Evidence. Recorded information which indicates the extent of conformance of items or characteristics to specified requirements and the extent of control over manufacturing processes. This information may be based on physical inspections, process controls, physical and chemical tests, nondestructive tests, destructive tests, or any combination of these.

Record of Assembly (ROA). An electronic database providing traceability of stockpile weapons and other ultimate user entities to that level of assembly below which PA records fulfill remaining traceability requirements.

Reporting of Disassembly (ROD). A ROD is normally required following disassembly of a report level component after initial acceptance and reporting of ROA data. A ROD is not required for partial or complete disassembly of a major assembly or its associated subassemblies which are being reprocessed for retirement of the weapon. If no disassembly is performed during reworking or reprocessing, but new manufacturing identification elements are marked on the product, this change must be reported as Reporting of Reidentification (ROR) at the appropriate report level.

Specification Exception Release (SXR). An authorization to use a specific quantity of product that does not conform to the product definition requirements, but after engineering assessment, has been approved for either "Unrestricted" or "Restricted" use. Such use will not affect safety, operability, reliability, interchangeability, assembly, storage life, completeness of assembly, or ultimate use.

Source Data. Documentation designed and used to create, update, or modify records in any medium. Sometimes called input records, output records, source records or source documentation.

War Reserve (WR). Nuclear weapons and nuclear weapon material intended for employment in the event of war.

Weapon Material. Nuclear weapons, assemblies, components, or parts thereof, and associated test and handling equipment.

Weapon-Related Material. Any material other than weapon material being developed and produced for or by the DOE and intended for use in conjunction with or in any way related to weapons.

White Papers. A detailed or authoritative report written to inform government policy makers about various subjects.