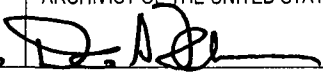



<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		LEAVE BLANK (NARA use only)	
		JOB NUMBER N1-374-09-3	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 9/29/09	
1 FROM (Agency or establishment) Defense Threat Reduction Agency		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Research and Development Enterprise (ADRD)		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 ADRD-INO			
4 NAME OF PERSON WITH WHOM TO CONFER Dorotheia (DeeDee) Byrd	5 TELEPHONE NUMBER 703-767-5089	DATE 30 Nov 13	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 this page are not needed now for the business for 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,  X is not required, <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE 7/28/09	SIGNATURE OF AGENCY REPRESENTATIVE 		TITLE Records Officer, Chief of Information Management Branch
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Arms Control Enterprise System (ACES)  See Attached	New	

# Arms Control Enterprise System (ACES)

## **Background:**

The Arms Control Enterprise System (ACES) is a family of systems developed by DTRA to support US compliance with and verification of arms control treaties and agreements – both Strategic and Conventional Weapons Treaties. It replaces the Compliance Monitoring and Tracking System (CMTS), whose data was successfully migrated into ACES. ACES is a comprehensive, automated information system for tracking and reporting conventional and strategic arms control information and notifications as required by specified treaties and agreements.

ACES resides on servers at DTRA and is accessible for users at organizations with arms control reporting and notification obligations via the web. ACES is a thin-client, J2EE architecture. Hardware supporting ACES consists of PC clients, web/application servers, and database servers. ACES is designed to operate using Microsoft Internet Explorer browser version 6.0, running on a Microsoft operating system, with Microsoft Office and Adobe Acrobat. Each PC workstation must be configured to operate with this software. The client PC workstation will not require customized software applications to be installed in order to access ACES. ACES uses a four-tier architectural component structure. Users use Microsoft Internet Explorer 6.0 browser for the client tier. In the presentation tier, the web server receives client requests, distributes work to the business tier, and prepares client responses using Java Server Pages (JSPs). In the business tier, the J2EE application server uses Enterprise Java Beans (EJBs) to support client request processing and business logic. The data tier manages all the ACES arms control treaty data.

ACES interfaces with other systems that are used for arms control information processing. The nature of each of the external interfaces is listed below.

- Import of AUTODIN/DMS format message files for NRRC dissemination for outgoing and incoming notifications
- Import of files of Notifications Created in Inspection Planning Module (IPM) or Navy Strategic Programs Automated Reporting Treaty Accountable Notification System (SPARTANS)
- Export of ASCII Files of START and INF Notifications for transmission via Government-to-Government Communications Links (GGCLs)

The system provides the operational environment for its treaty-specific functionality. The below table describes the proposed major system capabilities. Following is a brief explanation of the columns in the table.

- **Major Capability** This column identifies each major capability.
- **Functional Group** This column identifies the functional group as it will be assigned to each major capability in the ACES SyRS, and shows its association to the major system capability.
- **Capability Status** This column identifies the capability status, whether a major capability is new, existing, or modified.
- **Description** This column describes each major capability.

**Table: ACES Major System Capabilities**

<b>Major Capability</b>	<b>Functional Group</b>	<b>Capability Status</b>	<b>Description</b>
Messaging	Messaging	Modified	Provides system-generated notices and calendaring events via e-mail to inform the user of notifications, approvals, and other events
Notification Catalog	Notification Processing	Modified	All incoming and outgoing notifications are archived in a catalog that is available for viewing by users
Notification Generation	Notification Processing	Modified	Provides capability to create notifications by entering data in format-specific forms, including auto-populating parts of a form based on stored data, by importing a notification from an external source, and by auto-generating a notification based on another notification. Created notifications can be saved, validated, and transmitted
Notification Merge	Notification Processing	Modified	Provides JS and HQ USAF users the capability to combine multiple notifications of the same format to create merged notifications. Those formats available for merging include START formats 11, 12, 23, 24, 25, and 68
Notification Resolution	Notification Processing	Modified	Identifies, tracks, and provides a resolution mechanism for issues related to a notification. Problems in resolution can be detected during the comparison of the different versions of a notification (certification error), during comparisons between stored data and data in the notification (compliance error), or during compliance checks (compliance error). A difference can be detected between either the version of the notification sent to the NRRC or the version of the notification transmitted by the NRRC versus the version of the notification disseminated over AUTODIN. Depending on the nature of error, the notification will be resolved by the NRRC Resolution User, the Service/Agency Resolution User, the Service/Agency Super User, or the System Administrator
Notification Review	Notification Processing	Modified	Provides a hierarchical review of notifications prior to submission to the NRRC. Database updates are made
NRRC Functions	Notification Processing	Modified	Provides the NRRC with special functions to assist with the transmission of a notification. These functions include assigning a NRRC ID, exporting a notification for transmission, recording transmitted data, and uploading notifications from external sources (e.g., AUTODIN/DMS)
Report Generation	Report Generation	Modified	Generates standard data reports and provides these reports to Data Managers to assist in validating data and resolving inquiries
MOU Data Exchange	MOU Data Management	Modified	Prepare, review, edit, transmit, upload MOUs to comply with semi-annual data exchange requirements
Operational Environment	System Administration	Existing	Displays status information to the user including, node name, user name, operational mode
Security	System Administration	Existing	Authenticates user login, restricts user access to only authorized applications, and provides classification banners, event logging and auditing
System Administration	System Administration	Modified	Provides capabilities supporting user accounts. Provides means to add, edit, and delete user name, login name, password, and treaty and operational mode privileges. Provides capability to create 'Super Users' for designated organizations (TBD)
Super User	Reference and Transactional Data Management	New	Provides capability to maintain reference and transaction data. Provides notification rollback capability
Manage Test and Training Environment	System Administration	Existing	The Training mode provides the user community with an environment to learn ACES. The Testing mode provides the user community an environment to test ACES

The capability status column above lists the values modified, new, and existing. The status of new indicates capabilities in ACES requested by the users that did not exist in CMTS. Modified capabilities are those capabilities that existed in CMTS but will be enhanced so as to provide additional functionality. Some of the new and modified capabilities are described below.

- Messaging provides system-generated notices via e-mail to inform the user of notifications, approvals, and other events. It will be enhanced to allow users to create and manage e-mail groups and to specify non-ACES users as e-mail recipients. Messaging is also enhanced to send calendaring messages based on system events.
- Notification Catalog is enhanced to include fields specific to strategic notifications. The catalog will be centralized for INF. (In CMTS, the INF Catalog is stored on the client computer, not on the server.)
- Notification Generation is enhanced to populate notification forms based on the import of notification text from external systems, as well as allow the user to save an incomplete notification.
- Notification Resolution is enhanced to accommodate resolution related to both certification and compliance errors. ACES will have a new Super User with the capability to maintain the reference and transactional data. Notification errors that occur due to compliance errors can, in most instances, be corrected with intervention of the Super User.
- Notification Review is enhanced to allow greater user control over routing of notifications and to provide storing of specific notification data at particular stages of notification processing based on format. For example, if a reviewer discovers a problem or issue with a notification, ACES will provide the capability to return the notification to the prior reviewer/originator.
- MOU Data Exchange is enhanced to provide the JS and the NRRC with greater ease of generating and editing the semi-annual MOU for Exchange.
- Report Generation is enhanced to provide additional reporting capability. One new capability is printing the Other Parties' MOUs as four separate documents. Two new reports are Ground Truth and Abnormal Notification Processing.
- System Administration is enhanced by providing stored data update and notification rollback capabilities to 'super users'.

The ACES profiles of user classes describe the intended users of the system and their roles. It is understood that a member of the user community may be assigned one or more user roles. The below table summarizes the proposed ACES user roles and their responsibilities. The following is a brief explanation of the columns in the table.

- **User Role** This column identifies the proposed user role. Note that a user role may include multiple responsibilities. A user may be assigned more than one user role, depending upon their specific office organization.
- **Description** This column describes the user's role, and the responsibilities that they will be assigned.
- **Responsibility** This column identifies the responsibilities for a user role.

**Table 2. ACES User Roles and Responsibilities**

<b>User Role</b>	<b>Description</b>	<b>Responsibility</b>
ACES Strategic User	Sets START Clock Adds, edits, deletes, and populates e-mail groups and adds, edits, and deletes non-ACES users to the e-mail list available to send ACES e-mails Views and searches e-mail groups and views and searches ACES e-mail contacts Maintains user password	Set START Clock Add/edit/delete/view/search Group E-mail Contact Assign/remove E-mail Contact to Group E-mail Contact Add/edit/delete/search/ view E-mail Contact List View Group E-mail Contact List Maintain user password
Notification Originator	Creates, edits, deletes, views, prints, saves, validates, imports, sends information copies, and transmits notifications Creates and edits transmittal letter Creates and views Annotations Interacts with ACES through a notification generation input form, the draft notification list, and the transmittal letter edit form Notifications associated with Air Force Notification Generators will have Air Force specific structures and data requirements	Create/edit/delete/view Notification Save Notification Validate Notification Import Notification Send Information Copy of Notification Prepare/edit Transmittal Letter Transmit Notification Add/View Annotations
Notification Reviewer	Performs the functions of the Notification Editor Reviews, edits, and approves or denies notifications Some Air Force Notification Reviewers can remove themselves or subordinates from review chain Add and view Annotations (The JS and NRRC cannot view Air Force Annotations )	Same as Notification Editor plus Approve Notifications Deny Notifications Set Review Status Add/View Annotations
Notification Catalog User	Retrieves notifications from the catalog Views, prints, or copies to external media notification text, transmittal letter, and associated lists Access to Air Force notification versions will be restricted to Air Force Notification Catalog Users, except for the last version which is transmitted to the JS or the NRRC	View a Notification Print Notification Copy Notification
Merge User	Combines multiple notifications of the same format to create a merged notification Views, prints, or copies to external media merged notification text	View a Merge Notification Print a Merge Notification Merge Notification Copy a Merge Notification Same as Notification Editor plus Approve Notifications Deny Notifications Set Review Status Add/View Annotations
Resolution User	Acts on notifications placed on the Resolution List by running Difference reports, accepting the AUTODIN/DMS version of the notification, or requesting additional resolution review from the 'Super User' or the System Administrator Resolves certification error	Display Resolution List Display Difference Report Accept AUTODIN/DMS Version Of Notification Request Super User Action Request SA Action Mark Notification as Resolved
NRRC Notification Processor	Acknowledges the notification Assigns NRRC IDs to notifications on the Pending List, prepares a notification for transmission	View NRRC Pending List Acknowledge Notification Assign NRRC ID

<b>User Role</b>	<b>Description</b>	<b>Responsibility</b>
	to Other Parties, and records Transmittal data Works in conjunction with the Resolution user to resolve certification errors	Export Notification Record Transmittal Data Upload AUTODIN/DMS Notification Add/View Transmittal Letter Request Super User Action Request SA Action Mark Notification as Resolved
Report Retriever	Retrieve and view reports based on ACES data Retrieve and view MOU By Date View MOU for Exchange and Official MOUs	Retrieve Report
MOU Data Exchange Manager	Generate, edit, delete, and process the MOU for Exchange so that it can become an Official MOU Approve or deny requests for change from MOU reviewers and edit the MOU to incorporate changes	Create/Edit/Delete MOU for Exchange Approve MOU for Exchange Approve/deny MOU for Exchange Change Requests
MOU Data Exchange Reviewer	View MOU for Exchange Create MOU for Exchange Change Request View other MOU for Exchange Change Requests View MOU for Exchange Annotations	View MOU for Exchange Create MOU for Exchange Change Request View MOU for Exchange Change Request View MOU for Exchange Change Request List
Super User	Rollback notifications of certain formats Add, edit, and delete reference data including TAI, sites, site areas, inspection personnel Modify transaction data such as Movements, Conversions and Eliminations, and Entry into Service Maintain nodes in the system (AF only) Edit default Transmittal Letter data Edit attributes of notification formats (JS only) Acts on resolution issues when requested by the Resolution User Can request additional resolution support from System Administrator	Rollback Notification Add/Edit/Delete/Search/View Reference Data Edit /Search/View Transactions Data Add/Edit/Delete nodes Edit Default Transmittal Letter Data Edit notification setup Display Resolution List Display Difference Report Request SA Action Mark Notification as Resolved
System Administrator	Perform server administrator functions, such as creating a new user account, copying the live database to test or training mode database Act on resolution issues when requested by the Super User	Add/Edit/Delete/Search/View User Accounts Server Process Monitoring and Maintenance Broadcast Notice Copy Live Database to Testing or Training Display Resolution List Mark Notification as Resolved

ACES will provide access to treaty-specific applications based on each organization's arms control responsibilities ACES infrastructure controls user access to the applications depending on the node to which the user belongs and the specific roles and responsibilities assigned to each individual user ACES will use web technology to display, send and receive information to and from the server Table 3 identifies the user organization, nodes, and the usage by ACES user role

**Table 3. Usage by ACES User Role**

<b>User Organization</b>	<b>Node ID(s)</b>	<b>Usage by ACES User Role</b>
Dept of State, Nuclear Risk Reduction Center	NRRC	<ul style="list-style-type: none"> <li>• ACES Strategic User</li> <li>• Notification Originator</li> <li>• Notification Reviewer</li> <li>• Notification Catalog User</li> <li>• NRRC Notification Processor</li> <li>• Report Retriever</li> <li>• Resolution User</li> <li>• MOU Data Exchange Reviewer</li> </ul>

<b>User Organization</b>	<b>Node ID(s)</b>	<b>Usage by ACES User Role</b>
Joint Staff J5, Strategic Arms Control Branch	JS	<ul style="list-style-type: none"> <li>• ACES Strategic User</li> <li>• Notification Originator</li> <li>• Notification Reviewer</li> <li>• Notification Catalog User</li> <li>• Merge User</li> <li>• Resolution User</li> <li>• Report Retriever</li> <li>• MOU Data Exchange Manager</li> <li>• Super User (Optional)</li> </ul>
Defense Threat Reduction Agency, ACIN Program Management	DTRA_MGT	<ul style="list-style-type: none"> <li>• ACES Strategic User</li> <li>• Notification Catalog User</li> <li>• Report Retriever</li> <li>• System Administrator (Optional)</li> </ul>
Defense Threat Reduction Agency	DTRA OSS DTRA OSP	<ul style="list-style-type: none"> <li>• ACES Strategic User</li> <li>• Notification Originator</li> <li>• Notification Catalog User</li> <li>• Notification Reviewer</li> <li>• Resolution User</li> <li>• MOU DATA Exchange Reviewer</li> <li>• Report Retriever</li> <li>• Super User (Optional)</li> </ul>
Defense Threat Reduction Agency	DTRA OSAE DTRA OSAS DTRA OSSM DTRA OSSI	<ul style="list-style-type: none"> <li>• ACES Strategic User</li> <li>• Notification Originator</li> <li>• Notification Catalog User</li> <li>• Report Retriever</li> </ul>
Navy Strategic Systems Programs, Strategic Branch	SSP	<ul style="list-style-type: none"> <li>• ACES Strategic User</li> <li>• Notification Originator</li> <li>• Notification Catalog User</li> <li>• Resolution User</li> <li>• Report Retriever</li> <li>• MOU Data Exchange Reviewer</li> <li>• Super User (Optional)</li> </ul>
The Office of the Secretary of Defense/Transformational Communications	OSD/TC	<ul style="list-style-type: none"> <li>• ACES Strategic User</li> <li>• Notification Originator</li> <li>• Notification Catalog User</li> <li>• Resolution User</li> <li>• Report Retriever</li> <li>• MOU Data Exchange Reviewer</li> </ul>
Headquarters, Department of the Army	HQDA	<ul style="list-style-type: none"> <li>• ACES Strategic User</li> <li>• Notification Originator</li> <li>• Notification Catalog User</li> <li>• Resolution User</li> <li>• Report Retriever</li> <li>• MOU Data Exchange Reviewer</li> </ul>

<b>User Organization</b>	<b>Node ID(s)</b>	<b>Usage by ACES User Role</b>
HQ U S Air Force	HQ USAF	<ul style="list-style-type: none"> <li>• ACES Strategic User</li> <li>• Notification Originator</li> <li>• Notification Reviewer</li> <li>• Notification Catalog User</li> <li>• Merge User</li> <li>• Resolution User</li> <li>• Report Retriever</li> <li>• Super User (Optional)</li> <li>• MOU Data Exchange Reviewer</li> <li>• System Administrator (Optional)</li> </ul>
Air Force Central Node	AFCN	<ul style="list-style-type: none"> <li>• ACES Strategic User</li> <li>• Notification Originator</li> <li>• Notification Reviewer</li> <li>• Notification Catalog User</li> <li>• Report Retriever</li> <li>• MOU Data Exchange Reviewer</li> </ul>
Air Force MAJCOM	RANDOLPH WRIGHT SCOTT PETERSON LANGLEY	<ul style="list-style-type: none"> <li>• ACES Strategic User</li> <li>• Notification Originator</li> <li>• Notification Reviewer</li> <li>• Notification Catalog User</li> <li>• Report Retriever</li> </ul>
Air Force Unit	DYESS 436TS-CU 436TS-CW 436TS-CX 436TS-CY 436TS-CZ ELLSWORTH BARKSDALE WHITEMAN MINOT HILL DM EDWARDS FEWARREN MALMSTROM VANDENBERG	<ul style="list-style-type: none"> <li>• ACES Strategic User</li> <li>• Notification Originator</li> <li>• Notification Catalog User</li> <li>• Report Retriever</li> </ul>
Northrop Grumman Corporation	NORTHROP GRUMMAN	<ul style="list-style-type: none"> <li>• ACES Strategic User</li> <li>• Notification Catalog User</li> <li>• Report Retriever</li> </ul>
Argonne National Laboratory	ANL	<ul style="list-style-type: none"> <li>• ACES Strategic User</li> <li>• Notification Catalog User</li> <li>• Report Retriever</li> </ul>

The Services, Components, and Agencies within DoD, the State Department, and the NRRRC management are responsible stakeholders for providing the notifications and periodic exchanges of information to ensure that the U S provides the appropriate information in a timely manner to the States that are also party to these treaties and agreements

ACES is maintained in a high-availability server configuration which allows continuous operation of the servers (24 hours a day, seven days a week) except when taken out of service for routine maintenance. ACES servers require support of at least one system administrator. The system administrator is responsible for system hardware and software, database management, system backups, system logs,



maintaining user accounts, and assigning passwords. Each ACES client PC workstation operates without the need for a local administrator. ACES' PC workstations (user nodes) require a minimal level of support. There is no need for customized application software to be installed because ACES resides on the centrally located servers.

**File Title: ~~Inputs~~**

Inputs into ACES are covered under GRS 20, item 2(b) (input records entered by DTRA OPS Division to update ACES) and 2(c) (Input data entered by COCOMS, Joint Staff, OSD, or the Armed Forces to update ACES). GRS  
20.2 (b)

**File Title: Arms Control Enterprise System (ACES) Masterfile**

**File Number:** TBD (Based on DTRA 5015 2)

**File Description:** Family of systems developed by DTRA to support US compliance with and verification of arms control treaties and agreements. Information includes notifications of inspections, and equipment certifications/locations. ACES is a comprehensive, automated information system for tracking and reporting conventional and strategic arms control information and notifications as required by specified treaties and agreements.

**Disposition:** Temporary. Cutoff by Treaty Year, and destroy five years after end of Treaty.

**Reference:** New

**File Title: Annual and Semi-Annual Reports and Memoranda of Understanding (MOU)**

**File Number:** TBD (Based on DTRA 5015 2)

**File Description:** Reports run from ACES, and approved by the Joint Staff for distribution to the States, Stakeholder Agencies and the applicable Foreign Countries.

**Disposition:** Permanent. Cut off by Treaty Year. Transfer to NARA when 25 years old.

**Reference:** New

*Pre-accession to NARA in 5 year blocks*

*per DTRA 4/16/2013*

**File Title: ~~Ad Hoc Outputs~~**

Various ad hoc reports related to day-to-day program management are covered under GRS 20, Item 16.

*GRS 20.16*

**File Title: System documentation**

The system documentation disposition is covered under GRS 20, Item 11a(2) and includes data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, database or other electronic records.

*GRS  
20.11a(2)*