

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-057-08-006

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 05/24/2022

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These items, unless subsequently superseded, may be used by the agency to disposition records.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 other items 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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 903-04a(1) was superseded by DAA-0048-2013-0001-0001

Item 903-04a(2) was superseded by DAA-0048-2013-0001-0001

Item 903-05a(1) was superseded by DAA-0048-2013-0001-0001

Item 903-05a(2) was superseded by DAA-0048-2013-0001-0001

Item 904-08a was superseded by DAA-0048-2013-0001-0001

Item 904-08b was superseded by DAA-0048-2013-0001-0001

Item 904-10 was superseded by DAA-0048-2013-0001-0003

Item 904-11 was superseded by DAA-0048-2013-0001-0001

Item 905-05a was superseded by DAA-0048-2013-0001-0001

Item 906-01 was superseded by DAA-0048-2013-0008-0001

Item 1001-01 was superseded by DAA-0048-2013-0001-0010

Item 1001-02 was superseded by DAA-0048-2013-0001-0012

Item 1002-01 was superseded by DAA-0048-2013-0001-0010

Item 1002-03 was superseded by DAA-0048-2013-0001-0002

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Item 1003-01 was superseded by DAA-0048-2013-0001-0010

Item 1004-01 was superseded by DAA-0048-2013-0001-0010

Item 1302-02 was superseded by DAA-0048-2013-0008-0002

Item 1303-03 was superseded by DAA-0048-2013-0001-0001

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <i>NI-057-08-6</i>	
1. FROM (Agency or establishment) <i>Department of the Interior</i>		Date Received <i>1/15/08</i>	
2. MAJOR SUB DIVISION <i>U.S. Geological Survey</i>		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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION <i>Geospatial Information Office</i>			
4. NAME OF PERSON WITH WHOM TO CONFER <i>Carol Wippich</i>	5. TELEPHONE <i>703 648-7109</i>		
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 needed now 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 <i>1/10/2008</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Felix O'Connell</i>		TITLE <i>Chief, EITM</i>
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>See attached sheets</p> <p><i>U.S. Geological Survey General Records Disposition Schedule</i></p> <p><i>See attached</i></p> <p><i>Chapters 900, 1000 1100, 1200 and 1300</i></p>		

CHAPTER 900. EMERGENCY PLANNING, SAFETY, SECURITY, AND ENVIRONMENTAL RECORDS

Emergency preparedness files, for the protection of life and property under emergency conditions, are vital records to the USGS. Safety, security, and environmental records pertain to all aspects of the program.

Chapter 900 Topics. This section provides for the disposition of the following:

- 901. Classified Information Records
- 902. Protection Program Administrative Records
- 903. Personnel Security Records
- 904. Safety Management Records
- 905. Emergency Planning Files
- 906. Environmental Management, Permitting, and Compliance Records
- 907. National Environmental Policy Act (NEPA) Records

901. Classified Information Records include the following records:

- 901-01 Program and Policy Guides Classification Manual Policy Files - Included are records that document policy, programs, and procedures for the classification/declassification program.
- 901-02 General Files – Correspondence, reports, and receipts and other general documents not covered elsewhere in this schedule.
- 901-03 Destruction Certificates Files - Certificates relating to the destruction of classified documents.
- 901-04 Classified Document Inventory Files - Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents.
- 901-05 Top Secret Accounting and Control Files – Registers and forms to ensure control continuing to indicate accountability over top secret documents.
- 901-06 Access Request Files - Requests and authorizations for individuals to have access to classified files.
- 901-07 Security Container Records - Forms to control access to classified records.

902. Protection Program Administrative Records include the following records:

- 902-01 Security and Protective Services Administrative Correspondence Files - Correspondence files relating to administration and operation of the facilities security and protective services programs.
- 902-02 Technical Surveillance Countermeasures Files – Threat files, hazard, and penetration files.
- 902-03 Security Alarm and Access Control System Files – System manufacturer’s documentation, operations files, open storage approval records, activity journals, and maintenance records.

- 902-04 Master Safeguards and Security Agreements and Security Plans - Records establishing the acceptable level of risk to a facility and any measures employed to mitigate unacceptable risk.
- 902-05 Physical Security Files - Files for the physical protection and location of equipment and facilities vital to safety.
- 902-06 Foreign Ownership, Control, or Influence Files – Pertains to foreign control or influence.
- 902-07 Facilities Survey and Inspection Files (Government-owned Facilities) - Records of USGS-owned facilities to ensure adequacy of protective and preventive measures taken against hazards.
- 902-08 Facilities Survey and Inspection Files (Privately-owned Facilities) - Records of privately-owned facilities assigned security cognizance by Government agencies.
- 902-09 Investigative Files - Records from investigations of fires, explosions, and accidents.
- 902-10 Misuse of Government Property - Records documenting the misuse and abuse of government property.
- 902-11 Incident of Security Concern Inquiry and Investigation Files - Records not covered elsewhere in this schedule that pertain to inquiries or investigations into incidents of security concern.
- 902-12 Property Pass Files - Property pass files authorizing removal of property or materials.
- 902-13 Key Accountability Files - Files relating to accountability for keys issued.
- 902-14 Guard and Security Police Officer Assignment Files - Files relating to guard and security police officer assignments and strength.
- 902-15 Guard and Security Service Control Files – Control center records.
- 902-16 Police Functions Files - Files relating to the exercise of police functions.
- 902-17 Trespass Investigative Files. Case files documenting the unlawful and/or unwarranted entrance, use, destruction, and possession of USGS facilities, lands, or resources.
- 902-18 Visitor Control Files – Visitor records.
- 902-19 Visitor Access Approval Files - Records documenting visitor access to classified and/or unclassified sensitive information and/or security controlled areas
- 902-20 Facilities Check Files - Files relating to periodic guard force facility checks.
- 902-21 Logs and Registers - Security logs and registers not covered elsewhere in this schedule.
- 902-22 Credentials Files - Identification credentials and related papers..

903. Personnel Security Records include the following records:

- 903-01 Security Clearance and Access Authorization Administrative Subject Files - Files for managing operations of personnel security.
- 903-02 Security Clearance and Access Authorization Administrative Policy Subject Files - Files for the administration of the USGS personnel access authorization program.
- 903-03 Administration and Operation Files – Files relating to administration and operation of the personnel access authorization program, not covered elsewhere in this schedule.

- 903-04 Contractor Investigative Records Maintenance (HSPD-12 Credentialing Records) – Case files including pre-employment investigations, interview transcripts, and other document relevant to the processing of the contractor.
- 903-05 Security Clearance and Access Authorization Case Records - Personnel security and administrative review files.
- 903-06 Security Clearance and Access Authorization Status Files - Files showing the current access authorization status of individuals
- 903-07 Security Violations Files - Copies of Reports and other records.
- 903-08 Classified Information Non-Disclosure Agreements - Copies of non-disclosure agreements.

904. Safety Management Records include the following records:

- 904-01 Safety Files – Safety files and safety award records.
- 904-02 Safety and Statistical Reports - Reports concerning safety activities of the USGS.
- 904-03 Safety Procedures and Programs - Documents pertaining to safety programs and procedures.
- 904-04 Safety Policies - Material that serves to establish policy for safety activities.
- 904-05 Accident Files – Motor vehicle, aircraft, watercraft, contractor employee, and public accident files.
- 904-06 Records that Demonstrate the Capability for Safe Operations – Records to ensure safe operations.
- 904-07 Records that Verify the Performance of Safe Operations - Records verifying safe operations.
- 904-08 Safety and Security Training Records- Documents pertaining to bureau safety or security training and any specialized program training.
- 904-09 Occupational Safety and Health Administration (OSHA) Files – Records relating to chemicals, exposures, industrial hygiene, protective clothing, citations and penalties as well as general and communication files.
- 904-10 Equipment Records – Records related to equipment including maintenance and repairs.
- 904-11 General Work Permits – Files relating to requests for permits for purposes of research.
- 904-12 Asbestos Records – Files pertaining to drawings, qualifications of personnel, abatement procedures, notices of needed work, and reports.

905. Emergency Planning Files include the following records:

- 905-01 Emergency Planning Administrative Correspondence Files – General files relating to administration and operation of the emergency planning program.
- 905-02 Emergency Planning Program Correspondence Files – Records that document the policy, program, standards, and procedures.
- 905-03 Emergency Planning Case Files – Case files accumulated by offices responsible for the preparation and issuance of plans and directives.
- 905-04 Emergency Operations Test Files – Files accumulating from tests conducted under USGS emergency plans.
- 905-05 Fire Management Files – Fire records relating to fire logs and alarms.

906. Environmental Management, Permitting, and Compliance Records include the following records:

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|--------|--|
| 906-01 | Environmental Management, Permitting, and Compliance Policy and Guidance Files – Policy or guidance for environmental management, permitting, and compliance activities. |
| 906-02 | Environmental Management, Permitting, and Compliance Case Files – Correspondence, meeting notes, audit, and training records. |

907. National Environmental Policy Act (NEPA) Records include the following records:

- | | |
|--------|---|
| 907-01 | NEPA Regulations, Policy, Procedures, and Guidance Documents – NEPA related policy and other guidance documents. |
| 907-02 | USGS Environmental Impact Statements (EIS), Environmental Assessments (EA), and Cooperating Agency Records – Records related to the preparation, publication, and public review of EISs and EAs prepared by the USGS. |
| 907-03 | Records Associated with USGS Review of NEPA and other Environmental Documents Prepared by Other Agencies – Records associated with USGS reviews. |
| 907-04 | Document Review Status Reports and General Files – Periodic reports and general NEPA files. |

What records in this chapter are important or considered permanent USGS records?

- Trespass investigative case files.
- Visitor files retained by sites with potential for exposure to hazardous materials.
- All official policy documents used as guides in administering the security program.
- All safety policy, precedent files, and safe work permits.
- Copies of non-disclosure agreements if filed separately from the individual's Official Personnel Folder.
- Exposure records.
- Asbestos records.
- Environmental permit and compliance records.
- Environmental Management System and Compliance/Conformance Audit records.
- USGS Environmental Impact Statements, Environmental Assessments, and Cooperating Agency records.

What records in this section are considered temporary USGS records?

- Records establishing and documenting policy, standards, and procedures for the administration of the classification and declassification program.
- General files, correspondence, and reports and other documents not covered in this chapter.
- Records documenting destruction, inventory, accounting, access requests, and security containers for classified documents.
- Records related to the protection of USGS-owner or contractor-operated facilities from unauthorized entry, sabotage, or loss.
- Threat, hazard, and penetration files.
- Security alarm, access control files, safeguards, and security protection files.
- Physical security files.
- Foreign ownership, control, and influence files.
- Facilities survey and inspection files.
- Investigative files.
- Misuse of government property and incident inquiry files.
- Property pass and key accountability files.
- Guard, security, and police files.
- Visitor control and access files.
- Facilities and security check files.
- Identification credentials.
- Personnel security and access files including such files as access authorization rosters and security violation files.
- Background investigations for access authorizations.
- Safety management records such as general correspondence, reports, procedures, program, and award files.
- Accident files including motor vehicle, aircraft, and watercraft.
- Safe operation and safety training files.
- Chemical files.
- Industrial hygiene files.
- Protective clothing reviews and approvals.
- Citation and notifications of penalties files from the U.S. Department of Labor
- OSHA general and communication files of personnel who work with hazardous materials.
- Equipment records and general work permits.
- Emergency planning program procedures, administrative, operations, general, testing, and case files.
- Fire logs and alarm records.
- Environmental management, permitting, and compliance policy, guidance, meeting, training, and general files and reports.
- NEPA regulations, policy, procedures, guidance documents, reports, general files and records associated with USGS reviews.

Questions?

Contact the USGS Records Manager or your discipline or regional Records Liaison Officer - <http://internal.usgs.gov/gio/irm/fmassis2.html>

CHAPTER 900. EMERGENCY PLANNING, SAFETY, SECURITY, AND ENVIRONMENTAL RECORDS

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>901. Classified Information Records. Files pertaining to the administration of security classification and declassification, control, and accounting for classified documents. Included are records that document policy, programs, and procedures for the classification/ declassification program, including information recorded by personnel who are trained to identify, classify, or declassify documents for sensitive and classified information.</p>		
<p>901-01. Program and Policy Guides and Classification Manual Policy Files. Records that serve to establish and document policy, standards, and procedures for the administration of USGS's classification and declassification program.</p>	<p>Cutoff when superseded, canceled, or revoked. Destroy when no longer needed for reference purposes.</p>	<p>N1-57-02-04, Item 901-01a(1)</p>
<p>901-02. General Files. Files pertaining to the administration of security classification, control and accounting for classified documents, and control of sensitive documents such as correspondence, reports, receipts, and not covered elsewhere in this schedule.</p>	<p>Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.</p>	<p>N1-57-02-04, Item 901-01c and GRS 18, Item 1</p>
<p>901-03. Destruction Certificates Files. Certificates relating to the destruction of classified documents.</p>	<p>Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.</p>	<p>RCS/Item 306-03 and GRS 18, Item 3</p>
<p>901-04. Classified Document Inventory Files. Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to top secret material covered elsewhere in this schedule.</p>	<p>Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.</p>	<p>RCS/Item 306-04 and GRS 18, Item 4</p>
<p>901-05. Top Secret Accounting and Control Files.</p>		
<p>901-05a. Registers maintained at control points to indicate accountability over top secret documents, reflecting the receipt,</p>	<p>Destroy 5 years after documents shown on forms are downgraded, transferred,</p>	<p>RCS/Item 306-05a and GRS 18, Item 5a</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
dispatch, or destruction of the documents.	or destroyed.	
901-05b. Forms accompanying documents to ensure continuing control and showing names of persons handling the documents, intra-office routing, and comparable data.	Destroy when related document is downgraded, transferred, or destroyed.	RCS/Item 306-05b and GRS 18, Item 5b
901-06. Access Request Files. Requests and authorizations for individuals to have access to classified files.	Place in inactive file when the authorization expires. Destroy 2 years after authorization expires.	RCS/Item 306-06 and GRS 18, Item 6
901-07. Security Container Records		
901-07a. Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers.	Destroy when superseded by a new form or list or upon turn-in of containers.	RCS/Item 306-07a and GRS 18, Item 7a
901-07b. Forms Placed on Safes, Cabinets, or Vaults. Forms contain classified documents that record opening, closing, and routine checking of the security of the container, such as locking doors and windows and activating alarms. Included are such forms as SF-701, Activity Security Checklist and SF-702, Security Container Check Sheet.	Destroy 3 months following the last entry on the form (See Note). NOTE: Forms involved in investigations will be retained until completion of the investigation.	RCS/Item 306-07b and GRS 18, Item 7b
902. Protection Program Administrative Records. Records relating to measures taken for the protection of USGS-owned, contractor-operated facilities from unauthorized entry, sabotage, or loss.		
902-01. Security and Protective Services Administrative Correspondence Files. Correspondence files relating to administration and operation of the facilities security and protective services programs such as, but not limited to, Departmental or contracting officer guidance, project management records, and program feedback. NOTE: This item does not cover records documenting policies and procedures accumulated in offices having USGS-wide responsibilities for security and protective services program.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.	N1-57-02-04, Item 902-01 and GRS 18, Item 8

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
902-02. Technical Surveillance Countermeasures Files.		
902-02a. Threat Files. Files contain reports of known or suspected technical and non-technical security information, methodology, technologies used, suspected individual(s) or groups, reports of actions directed against U.S. Government and commercial interest and/or personnel.	Cutoff at the end of the fiscal year. Destroy when superseded or obsolete.	N1-57-02-04, Item 902-02a
902-02b. Hazard and Penetration Files. Files provide general and specific design information on known or suspected surveillance devices, electronic anomalies, methodology, and historical technical data. These files are used for technical surveillance threat reference.	Review every 2 years. Destroy when no longer needed.	N1-57-02-04, Item 902-02b
902-03. Security Alarm and Access Control System Files.		
902-03a. System Manufacturers Documentation. Files include manufacturer's operations and technical manuals for the equipment installed as part of the Security Alarm System. These records include information on individual components for both the security alarm systems and the electronic access control systems.	Destroy when current system is upgraded or replaced.	N1-57-02-04, Item 902-03a
902-03b. Systems Operations Files. Files include on-site configuration files for systems operations. Includes information on individual components, systems operations, and how the systems are currently installed for both the security alarm systems and the electronic access control system.	Destroy when current system is upgraded or replaced.	N1-57-02-04, Item 902-03b
902-03c. Open Storage Approval Records. Files contain on-site records of areas approved for the open storage of classified information. Includes information concerning the motion detection and alarm devices within specific areas.	Destroy when superseded.	N1-57-02-04, Item 902-03c
902-03d. Activity Journals. These records include all of the user activity and alarm activity for all portions of the alarm and	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	N1-57-02-04, Item 902-03d

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>access control system. User activity includes operations of Day/Night mode access of alarmed rooms and access/exit through card reader controlled doors or access points. Alarm activity includes alarm devices, line supervision, and administrative alarms as they occur. Files consist of system activity journals containing the on-site records for alarm system activity.</p>		
<p>902-03e. Maintenance Records. These records contain all activity concerning preventive and corrective maintenance performed on the alarm system and the sub-components. Files consist of maintenance requests, test reports, schedules, notification letters, and maintenance activity journals containing the on-site records for alarm system maintenance activity.</p>	<p>Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.</p>	<p>N1-57-02-04, Item 902-03e</p>
<p>902-04. Master Safeguards and Security Agreements and Security Plans. Records establish the baseline safeguards and security protection strategy and programs for a facility and are an agreement between the cognizant program office and other headquarters and field elements as to the acceptable level of risk to a facility and any measures employed to mitigate unacceptable risk. The Master Safeguards and Security Agreement, Site Safeguards and Security Plan, or Site Security Plan also provides a historical perspective on facility operations and configuration. In addition, Master Safeguards and Security Agreement, Site Safeguards and Security Plan, or Site Security Plan provides short and long-term planning profiles for safeguards and security operations at a facility.</p>	<p>Destroy 10 years after termination of the facility as a security interest.</p>	<p>N1-57-02-04, Item 902-04</p>
<p>902-05. Physical Security Files. Detailed security measures for the physical protection and location of equipment and facilities vital to safety. The files include physical security plans, drawings of the physical protection system, alarm system</p>		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
details, and safeguards procedures.		
902-05a. Facilities Subject to Licensing (Nuclear Regulatory Commission or Environmental Protection Agency).		
902-05a(1). If license is granted.	Retain until the termination of the license. At termination of license, apply the disposition cited in Item 902-05b below.	N1-57-02-04, Item 902-05a(1)
902-05a(2). If license is not granted:	Retain until the determination is made not to license the facility, then apply the disposition cited in Item 902-05b below.	N1-57-02-04, Item 902-05a(2)
902-05b. Facilities not subject to licensing.	Destroy when superseded or obsolete, or 5 years after facility closes, whichever is sooner.	N1-57-02-04, Item 902-05b
902-06. Foreign Ownership, Control, or Influence Files.		
902-06a. Unsuccessful Bidder Files. Contains their representations as to their ownership and any foreign control or influence and other information pertaining to foreign ownership, control, or influence and whether anything that has been provided by the unsuccessful bidder or otherwise gathered may pose an undue risk to national security.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.	N1-57-02-04, Item 902-06a
902-06b. Successful Bidder (Contractor) Files. Contains original and subsequent representations as to their ownership and any foreign control or influence, and other information pertaining to foreign ownership, control, or influence and whether anything that has been provided by the contractor or otherwise gathered may pose an undue risk to national security. Files relating to contract eligibility determinations when foreign ownership, control, or influence issues are present.	Cutoff 5 years after determination date. Destroy 5 years after cutoff.	N1-57-02-04, Item 902-06b
902-07. Facilities Survey and Inspection Files (Government-owned Facilities). Reports of surveys, inspections, and self-	Cutoff at the end of the fiscal year. Destroy when 3 years old or upon	RCS/Item 306-09 and GRS 18, Item 9

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
assessments of USGS-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents and to safeguard information and facilities against sabotage and unauthorized entry.	discontinuance of facility, whichever is sooner.	
902-08. Facilities Survey and Inspection Files (Privately-owned Facilities). Reports of surveys, inspections, and self-assessment reports, facility information, and correspondence of privately-owned facilities assigned security cognizance by Government agencies and related papers.	Cutoff at the end of the fiscal year. Destroy when 4 years old or when security cognizance is terminated, whichever is sooner.	RCS/Item 306-10 and GRS 18, Item 10
902-09. Investigative Files. Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related documents when the original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements. Not included here are records related to misuse of Government property (see Item 902-10 below) or incidents of security concern (see Item 902-11 below).	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.	RCS/Item 306-11 and GRS 18, Item 11
902-10. Misuse of Government Property. Records, correspondence, and related working papers which document the misuse and abuse of government property, equipment, vehicles, or systems while in the custody of government or contractor employees. Records may include information on infractions of Federal, State, or local laws or ordinances, and penalties levied against government or contractor employees.		
902-10a. Records maintained by USGS elements.	Cutoff at the end of the fiscal year. Destroy 5 years after cutoff.	N1-57-02-04, Item 902-10a
902-10b. Records maintained by USGS contractors.	Cutoff at the end of the fiscal year. Destroy 2 years	N1-57-02-04, Item 902-10b

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
	after cutoff.	
902-11. Incident of Security Concern Inquiry and Investigation Files. Records not covered elsewhere in this schedule that pertain to inquiries or investigations into incidents of security concern (e.g., suspected infractions and violations; loss, compromise, or unauthorized disclosure of classified information; unaccounted-for classified matter), and to the corrective measures recommended and/or taken.	Cutoff upon termination of inquiry or investigation and case is closed. Destroy 5 years after cutoff.	N1-57-02-04, Item 902-11
902-12. Property Pass Files. Property pass files authorizing removal of property or materials.	Destroy 3 months after expiration or revocation.	RCS/Item 306-12 and GRS 18, Item 12
902-13. Key Accountability Files. Files relating to accountability for keys issued.		
902-13a. For Areas Under Maximum Security.	Destroy 3 years after key was turned in.	RCS/Item 306-13a and GRS 18, Item 16a
902-13b. For Other Areas.	Destroy 6 months after key was turned in.	RCS/Item 306-13b and GRS 18, Item 16b
902-14. Guard and Security Police Officer Assignment Files. Files relating to guard and security police officer assignments and strength.		
902-14a. Ledger records.	Destroy 3 years after final entry.	RCS/Item 306-19a and GRS 18, Item 13a
902-14b. Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.	RCS/Item 306-19b and GRS 18, Item 13b
902-15. Guard and Security Service Control Files.		
902-15a. Control center key or code records, emergency call cards, and building record and employee identification cards.	Destroy when superseded or obsolete.	RCS/Item 306-22 and GRS 18, Item 19a
902-15b. Round reports, service reports on interruptions and tests, and punch clock dial sheets.	Destroy when 1 year old.	N1-57-02-04, Item 902-15b and GRS 18, Item 19b
902-15c. Automatic machine patrol charts and registers of patrol and alarm services.	Destroy when 1 year old.	N1-57-02-04, Item 902-15c and GRS 18, Item 19c
902-15d. Arms distribution sheets, charge	Destroy 3 months after	N1-57-02-04, Item

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
records, and receipts.	return of arms.	902-15d and GRS 18, Item 19d
902-16. Police Functions Files. Files relating to the exercise of police functions.		
902-16a. Ledger records of arrests, cars ticketed, and outside police contacts.	Destroy 3 years after final entry.	N1-57-02-04, Item 902-16a and GRS 18, Item 14a
902-16b. Reports, statements of witnesses, warning notices, and other documents relating to arrests, commitments, and traffic violations.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.	N1-57-02-04, Item 902-16b and GRS 18, Item 14b
902-16c. Reports on contact of outside police with building occupants.	Cutoff at the end of the fiscal year. Destroy 1 year after cutoff.	N1-57-02-04, Item 902-16c and GRS 18, Item 14c
902-17. Trespass Investigative Files. Case files documenting the unlawful and/or unwarranted entrance, use, destruction, and possession of USGS facilities, lands, or resources. Contains the initial report of unauthorized use, trespass investigation report, notice of trespass, location maps, other land status and location data, damage assessment, notice to remove structures, notice of impoundment, trespass bond, record of interviews and phone conversations, field notes, sketch maps, measurements, bills/invoices, reimbursable project log, related photos, correspondence, and other documents. Exclude record copies of financial documents related to collection of compensation.	Cutoff at the end of the fiscal year in which case is settled or abandoned. Transfer to the Federal Records Center (FRC) 1 year after cutoff. FRC destroys 51 years after cutoff.	N1-57-02-04, Item 902-17
902-18. Visitor Control Files. Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.		
902-18a. For Areas Under Maximum Security.	Destroy 5 years after final entry or 5 years after date of document, as appropriate.	N1-57-02-04, Item 902-18a and GRS 18, Item 17a
902-18b. For Other Areas.	Destroy 2 years after final entry or 2 years after date of document, as appropriate.	N1-57-02-04, Item 902-18b and GRS 18, Item 17b
902-19. Visitor Access Approval Files. Correspondence and forms created to		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
document that visitors are authorized access to classified and/or unclassified sensitive information and/or security controlled areas. Files contain data for each visit to a USGS facility, consisting of access approvals together with related correspondence.		
902-19a. Files retained by sites (incoming visitor control) with potential for exposure to hazardous materials,	Cutoff at the end of the fiscal year. Destroy 75 years after cutoff.	N1-57-02-04, Item 902-19a
902-19b. Files retained by sites (incoming visitor control) without potential for exposure to hazardous materials.	Cutoff at the end of the fiscal year. Destroy 5 years after cutoff.	N1-57-02-04, Item 902-19b
902-19c. Files retained by requesting office (outgoing visitor control).	Cutoff at the end of the fiscal year. Destroy 5 years after cutoff.	N1-57-02-04, Item 902-19c
902-19d. Duplicate copies used to notify other on-site offices of the intended visit.	Cutoff at the end of the fiscal year. Destroy 1 year after cutoff.	N1-57-02-04, Item 902-19d
902-20. Facilities Check Files. Files relating to periodic guard force facility checks.		
902-20a. Data sheets, door slip summaries, check sheets, and guard reports on security violations (except copies in files of agency security offices covered by Item 903-07 of this schedule).	Destroy when 1 year old.	RCS/Item 306-21 and GRS 18, Item 18a
902-20b. Reports of routine after-hours security checks which either do not reflect security violations or for which the information contained therein is documented in the files referenced in Item 902-11.	Destroy when 1 month old.	N1-57-02-04, Item 902-20b and GRS 18, Item 18b
902-21. Logs and Registers. Security logs and registers not covered elsewhere in this schedule.		
902-21a. Central Guard Office Master Logs.	Destroy 2 years after final entry.	RCS/Item 306-23a and GRS 18, Item 20a
902-21b. Individual security post logs of occurrences entered in master logs.	Destroy 1 year after final entry.	RCS/Item 306-23b and GRS 18, Item 20b
902-22. Credential Files. Identification credentials and related papers.		
902-22a. Identification Credentials.	Destroy credentials 3 months	RCS/Item 307-08a

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
Includes cards, badges, parking permits, photographs, agency permits to operate motor vehicles, visitor passes, and other identification credentials.	after return to issuing office.	and GRS 11, Item 4a
902-22b. Receipts, indexes, listings, and accountable records.	Destroy after all listed credentials are accounted for.	RCS/Item 307-08b and GRS 11, Item 4b
903. Personnel Security Records. Records accumulating from investigations of personnel conducted under statutory, Presidential, or Departmental directive requirements.		
903-01. Security Clearance and Access Authorization Administrative Subject Files. Files maintained by individual security offices for purposes of managing operations of personnel security. Files include, but are not limited to, forms, lists, and correspondence documenting the type of clearance/access authorization and date it was granted and subsequent actions were taken; briefing and debriefing statements; and lists of individuals granted access authorizations by assigned numbers.		
903-01a. Correspondence granting access authorizations not maintained in official personnel files. (Clearance Visitation Letters)	Cutoff at the end of the fiscal year. Destroy 5 years after cutoff.	N1-57-02-04, Item 903-01a
903-01b. Briefing and debriefing statements including related correspondence. (Example: Foreign Influence Briefings)	Cutoff at the end of the fiscal year. Destroy 5 years after cutoff.	N1-57-02-04, Item 903-01b
903-01c. Termination statements or correspondence not maintained in official personnel files.	Cutoff at the end of the fiscal year. Destroy 5 years after cutoff.	N1-57-02-04, Item 903-01c
903-01d. Lists identifying employees by assigned number used for indexing or references.	Cutoff at the end of the fiscal year. Destroy when related records are destroyed or when no longer needed for reference, whichever is later.	N1-57-02-04, Item 903-01d
903-01e. Reports related to personnel security issues.	Cutoff at the end of the fiscal year. Destroy 2 years	N1-57-02-04, Item 903-01e

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
	after cutoff.	
903-01f. Outgoing transfer record tracking files for personnel security files sent to other USGS facilities.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	N1-57-02-04, Item 903-01f
903-02. Security Clearance and Access Authorization Administrative Policy Subject Files. Files, which document the official policy, standards, and procedures for the administration of the USGS personnel access authorization program.		
903-02a. Program and policy guides, access authorization manuals, and documents used as guides in administering the security program. Includes USGS correspondence concerning access authorization policy.	Cutoff at the end of the fiscal year. Place in inactive file when canceled, superseded, or revoked. Destroy when no longer needed for reference purposes.	N1-57-02-04, Item 903-02a
903-02b. Files documenting the development of access authorization policy, includes policy studies.	Cutoff when superseded. Destroy 20 years after cutoff.	N1-57-02-04, Item 903-02b
903-02c. Procedures implementing USGS access authorization policy and guides.	Cutoff at the end of the fiscal year. Destroy 10 years after cutoff.	N1-57-02-04, Item 903-02c
903-03. Administration and Operation Files. Correspondence, reports, and other records relating to administration and operation of the personnel access authorization program, not covered elsewhere in this schedule.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.	N1-57-02-04, Item 903-03
903-04. Contractor Investigative Records Maintenance (HSPD-12 Credentialing Records).		
903-04a. Contractor HSPD-12 Credentialing Files. Documents the processing of individuals for HSPD-12 credentialing authorizations, regardless of whether credentialing authorizations are granted. These files may include copies of items such as pre-employment investigations; requests and justifications for credentialing authorizations; security forms (SF-85 and SF-85P); personnel security interview transcripts and/or summaries; case evaluation sheets; security	Destroy upon notification of death or not later than 5 years after separation or transfer of contractor employee.	New Item

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
incident/infraction report forms; correspondence with the individuals, the individuals' employers, and other agencies; security badge information; medical evaluations; security termination statements; and other material relevant to the credentialing authorization process.		
903-04a (1). Investigative reports and related papers returned from OPM with no issues or with Minor (A) issues and receive a favorable adjudication.	Destroy investigative reports and related papers upon favorable adjudication.	New Item
903-04a (2). Investigative reports and related papers returned from OPM with Moderate (B), Major (C), or Substantial (D) issues and/or those cases not favorably adjudicated.	Destroy investigative reports and related papers with non-substantial issues and favorable adjudication. Retain investigative reports and related papers containing serious issues with either a favorable or unfavorable adjudication, and destroy upon notification of death or no later than 5 years after separation or transfer of contractor employee.	New Item
903-05. Security Clearance and Access Authorization Case Records. Personnel security and administrative review files created under Executive Order, Code of Federal Regulations, Department of the Interior and agency directive requirements and procedures, and related indices maintained by bureau personnel security offices at USGS headquarters and field offices.		
903-05a. Personnel Security Files. Documents the processing of individuals for USGS access authorizations (security clearances), regardless of whether access authorizations are granted. These files may include copies of items such as pre-employment investigations; requests and justifications for access authorizations; security forms (SF-86); reports of	Destroy upon notification of death or not later than 5 years after separation or transfer of employee.	RCS/Item 306-15a and GRS 18, Item 22a

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
background investigation(s); personnel security interview transcripts and/or summaries; case evaluation sheets; security incident/infraction report forms; correspondence with the individuals, the individuals' employers, and other agencies; security badge information; medical evaluations; security termination statements; and other material relevant to the access authorization process.		
903-05a (1). Investigative reports and related papers returned from OPM with no issues or with Minor (A) issues and receive a favorable adjudication.	Destroy investigative reports and related papers upon favorable adjudication.	New Item
903-05a (2). Investigative reports and related papers returned from OPM with Moderate (B), Major (C), or Substantial (D) issues and/or those cases not favorably adjudicated.	Destroy investigative reports and related papers with non-substantial issues and favorable adjudication. Retain investigative reports and related papers containing serious issues with either a favorable or unfavorable adjudication, and destroy upon notification of death or no later than 5 years after separation or transfer of contractor employee.	New Item
903-06. Security Clearance and Access Authorization Status Files. Lists or rosters showing the current access authorization status of individuals.	Destroy when superseded or obsolete.	RCS/Item 306-16 and GRS 18, Item 23
903-07. Security Violations Files. Copies of Report of Security Incident/Infraction, or similar forms or reports that are placed in Personnel Security Files are handled in accordance with Item 903-05 above. Other documentation relating to infractions or violations is handled in accordance with Item 902-11 above.		N1-57-02-04, Item 903-07 and GRS 18, Item 24
903-08. Classified Information Non-Disclosure Agreements. Copies of non-disclosure agreements, such as SF-312, Classified Information Non-Disclosure	Pull the SF-312 from security personnel folder after separation or transfer of employee. File in separate	RCS/Item 306-18a and GRS 18, Item 25a

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
Agreement, signed by personnel with access to information that is classified under standards put forth by Executive Orders governing security classification. These forms are maintained in the personnel security file until separation or transfer of employee.	SF-312 alphabetical folder. Destroy SF-312 when 70 years old.	
904. Safety Management Records.		
904-01. Safety Files		
904-01a. Correspondence of a general nature pertaining to safety subjects relating to the causes, investigations, and prevention of accidents.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.	N1-57-02-04, Item 904-01a
904-01b. Safety issues, complaints, and inquiries received by USGS personnel. Included in the file are responses to all inquiries and noted follow-on steps, if any, to correct any noted deficiencies.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	N1-57-02-04, Item 904-01b
904-01c. Safety Awards. Files, including recommendations, approved nominations, memoranda, correspondence, reports and any related materials pertaining to agency safety awards such as the safe driving award.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	N1-57-02-04, Item 904-01c
904-02. Safety and Statistical Reports. Periodic reports concerning safety activities of the USGS, including annual program plans, minutes of monthly safety meetings, accident data analysis, safety and health program assessments, trend or accident analysis reports, and any similar or related reports.	Cutoff at the end of the fiscal year. Destroy 5 years after cutoff.	N1-57-02-04, Item 904-02
904-03. Safety Procedures and Programs. Documents pertaining to safety programs and procedures for such things as the protection of individuals, elimination of hazardous working conditions, public safety awareness programs, and inspections of safety measures.	Cutoff at the end of the fiscal year. Destroy 5 years after cutoff.	N1-57-02-04, Item 904-03
904-04. Safety Policies. Material that serves to establish policy or precedents pertinent to future and continuing actions for safety activities. These may not be	Cutoff at the end of the fiscal year. Place in inactive file when canceled, superseded, or revoked.	N1-57-02-04, Item 904-04

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
included in the USGS master set of directives.	Destroy when no longer needed for reference purposes.	
904-05. Accident Files		
904-05a. Motor Vehicle, Aircraft, and Watercraft Accident Files. Records relating to any motor vehicle, aircraft, or watercraft accident, including accident forms, safety alerts, initial, preliminary, and final reports, and any other related records.	Cutoff at the end of the fiscal year. Destroy 7 years after cutoff.	N1-57-02-04, Item 904-05a
904-05b. General Accident Files. Materials pertaining to contractor, public, or any other accident, injury, or fatality and disability not covered elsewhere in this schedule.	Cutoff at the end of the fiscal year. Destroy 6 years after date of incident or 3 years after the Release of Settlement of any claim, whichever is earlier.	N1-57-02-04, Item 904-05e
904-06. Records that Demonstrate the Capability for Safe Operations. Authorizing documents, training certificates, procedures, and other records of a similar or related nature that demonstrate that individuals or control systems that will be used in operations, have the capability for engaging in, performing in, or otherwise conducting safe operations.	Cutoff at the end of the fiscal year. Destroy when 10 years old.	N1-57-02-04, Item 904-06a
904-07. Records that Verify the Performance of Safe Operations. Records that verify that an activity was performed in accordance with applicable requirements for safe operations, but need not be retained for the working life of the individual or for the life of the item, or discrete part thereof. Items as used here include sites, facilities, structures, plants, materials, machinery, equipment, and systems.	Comply with the requirements for recording in Department of the Interior orders and schedules and their items. In the absence of these requirements, apply the following: Cutoff at the end of the fiscal year. Destroy 5 years after the date of completion of the task.	N1-57-02-04, Item 904-07
904-08. Safety and Security Training Records. Any materials pertaining to participation and information relating to bureau safety or security training and any specialized program training such as watercraft, firearms, diving, radiation, and aviation.		
904-08a. General Training Records.	Cutoff at the end of the	N1-57-02-04, Item

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
	fiscal year. Destroy 2 years after cutoff or when no longer needed, whichever is later.	904-09a
904-08b. Federal Employee and Contractor Training Records.	Cutoff at the end of the fiscal year. Destroy 1 year after termination of the employee or the contractor.	N1-57-02-04, Item 904-09a
904-09. Occupational Safety and Health Administration (OSHA) Files.		
904-09a. Chemical Files. Documentation related to chemical inventories and reports.	Cutoff at the end of the fiscal year. Destroy when 10 years old.	N1-57-02-04, Item 904-10b
904-09b. Exposure Records. Records of personal exposures, including radiation exposure (dosimetry), required to be maintained by the agency that has conducted or contracted for the monitoring. In most cases records such as personal exposure samples for chemicals, ionizing radiation, asbestos, lead, and noise; wipe samples to determine surface contamination; bulk samples to analyze for asbestos content; and reports or inspections or surveys of activities related to actual or potential occupational exposures, are to be kept for 30 years post employment and in certain cases longer to comply with OSHA 29 CFR 1910/1926.	Cutoff at the end of the calendar year. Destroy 75 years after cutoff or when no longer needed for reference purposes, whichever is longer. NOTE: A review of the records by the USGS Industrial Hygienist must be conducted prior to destruction.	New Item
904-09c. Industrial Hygiene. General records associated with pre-placement, periodic and termination medical exams; control measures that protect employees from chemical, physical and/or biological stressors, such as noise, chemical exposures, excessive temperatures, dusts, mists, and vapors, and air quality evaluations/results.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff or when no longer needed, whichever is later.	New Item
904-09d. Protective Clothing Reviews and Approvals. Correspondence and files relating to protective clothing, gloves, boots, suits, and other related components to be used to prevent employee exposures.	Cutoff at the end of the fiscal year. Destroy 10 years after cutoff.	N1-57-02-04, Item 908-09
904-09e. General Correspondence. Files consist of original letters, council committee	Cutoff at the end of the fiscal year. Destroy 3 years	New Item

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
minutes, working group's policy, guidelines, and reports.	after cutoff.	
904-09f. Citation and Notifications. Citations and notifications of penalties, from the U.S. Department of Labor; Results of Investigations; Modification Abatement Plan Requests; and final Abatement Plan Documentation	Destroy 10 years after date of abatement/resolution.	New Item
904-09g. Communication Files. Records related to USGS government and contract personnel who work with hazardous materials as a part of their assigned job duties or who may otherwise have the potential for hazardous exposure to chemicals or materials that pose either a physical or health hazard. This supplements those requirements established by OSHA, 29 CFR 1910, 1200.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff or when no longer needed, whichever is later.	New Item
904-10. Equipment Records. Records include, but not limited to, inventories, checkout logs, maintenance records, warranties, calibration, and repair records.	Destroy upon disposal/surplus or discarding of equipment.	New Item
904-11. General Work Permits. Files include copies of all permit applications sent to the bureau by Federal, State, and private organizations, conservation groups, private parties, and others who request permits for purposes of research. Files also include correspondence, internal and external, dealing with the application process. Examples include, but not limited to, laboratory, safety, air, and fire burn permits.	Destroy 3 years after expiration of permit or termination date of latest applicable condition.	New Item
904-12 Asbestos Records. Includes drawings, qualifications of personnel, and abatement procedures; notification of the work to be done to the regulatory agency; analytical reports from the laboratory verifying the levels of asbestos exposure; and the final report by the abatement contractor.	Destroy 50 years after completion of abatement/resolution.	New Item
905. Emergency Planning Files. Records accumulating from the formulation and implementation of plans, such as evacuation		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>plans, for protection of life and property during emergency conditions. Records are vital if they are essential to the continued functioning of an organization during and after an emergency. Vital records and information can be protected at any point in the life cycle – from creation to destruction. Four methods for protecting vital records are: 1) routine distribution of vital information to various locations for use and reference; 2) reproducing records and information specifically for vital records protection; 3) store in fire-resistant media; and 4) store or safeguard vital records at an off-site facility (far enough away to not be affected by a disaster in the immediate area of the office concerned). Records should be updated annually and reviewed for practicality and effectiveness without imposing severe financial burdens.</p>		
<p>905-01. Emergency Planning Administrative Correspondence Files. Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in this schedule.</p>	<p>Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.</p>	<p>N1-57-02-04, Item 905-01 and GRS 18, Item 26</p>
<p>905-02 Emergency Planning Program Correspondence Files. Records that document the policy, program, standards, and procedures pertaining to the administration of the emergency planning program.</p>		
<p>905-02a. Program and policy guides, information papers, operational manuals, and documents used as guides for determining appropriate agency action. Unless issued as a USGS directive, a record copy of Departmental emergency plans.</p>	<p>Cutoff at the end of the fiscal year. Place in inactive file when canceled, superseded, or revoked. Destroy when no longer needed for reference purposes.</p>	<p>N1-57-02-04, Item 905-01b(1)</p>
<p>905-02b. Emergency planning reports of operations tests, consisting of consolidated or comprehensive reports reflecting bureauwide results of tests conducted under emergency plans.</p>	<p>Cutoff at the end of the fiscal year. Destroy 25 years after cutoff or when superseded, canceled, or obsolete, whichever is</p>	<p>N1-57-02-04, Item 905-01b(2)</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
	soonest.	
905-02c. Files documenting the development of policy, including policy studies.	Cutoff when superseded. Destroy 10 years after cutoff.	N1-57-02-04, Item 905-01b(3)
905-02d. Procedures and activities implementing USGS policy and guides.	Cutoff at the end of the fiscal year. Destroy 6 years after cutoff.	N1-57-02-04, Item 905-01b(4)
905-03. Emergency Planning Case Files. Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background documents. Exclude bureauwide policies and directives filed in Item 905-02a above. Examples include, but not limited to, USGS evacuation or disaster recovery plans.	Cutoff at the end of the fiscal year. Destroy 3 years after issuance of a new plan or directive.	N1-57-02-04, Item 905-01e and GRS 18, Item 27
905-04. Emergency Operations Test Files. Files accumulating from tests conducted under USGS emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and reports excluding consolidated and comprehensive reports. See Item 905-02b above.	Cutoff at the end of the fiscal year. Destroy when 3 years old.	N1-57-02-04, Item 905-01d and GRS 18, Item 28
905-05. Fire Management Files.		
905-05a. Fire Logs. Maintained at fire control panels and checked at least daily	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	N1-57-02-04, Item 908-10c
905-05b. Fire Alarms. Files and relating documentation that document fire alarms, of which there was no fire or major investigation, such as accidental alarms and testing of the alarm system.	Cutoff at the end of the year. Destroy when 5 years old or when no longer needed, whichever is later.	N1-57-02-04, Item 908-10e
906. Environmental Management, Permitting, and Compliance Records.		
906-01. Environmental Management, Permitting, and Compliance Policy and Guidance Files. Correspondence, guidance, and other records that pertain to corporate environmental management, permitting, and compliance activities.	Cutoff at the end of the fiscal year. Review every 5 years and destroy records that are superseded, obsolete, or no longer needed.	New Item

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>906-02. Environmental Management, Permitting, and Compliance Case Files.</p> <p>NOTE: A review of records managed under 906-02b and 906-02c must be conducted by the USGS Environmental Program Manager prior to destruction and concurrence obtained by the USGS Deputy Director (or their designee) to ensure there are no outstanding environmental liability issues that would require that the records be maintained beyond the 100 year disposition period.</p>		
<p>906-02a. Correspondence and Meeting Notes. Correspondence and meeting notes of a general nature pertaining to corporate environmental management, permitting, and compliance topics not covered elsewhere in this schedule.</p>	<p>Cutoff at the end of the fiscal year. Review every 5 years and destroy records that are superseded, obsolete, or no longer needed.</p>	<p>New Item</p>
<p>906-02b. Environmental Permit and Compliance Records. Correspondence; responses to regulatory data calls and notices; permit applications including plans, specifications, and supporting technical documents and study reports (engineering, geotechnical, and environmental); permit documents; compliance and monitoring reports; technical documents related to contracts for professional environmental services and system operation, maintenance, inspection, and monitoring; compliance orders and notices of violation; and other records associated with environmental permits, variances, species take actions, and consultations that specify requirements for USGS facilities and programs to achieve and maintain compliance with applicable Federal, State, Tribal, and local environmental laws, regulations, and ordinances.</p> <p>Records are organized by media, activity, or program, including but not limited to: public water supply; air emissions;</p>	<p>Cutoff on close of case. Transfer to FRC. Destroy 100 years after close of case.</p>	<p>New Item</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>wastewater collection, treatment, reuse, and disposal; stormwater management and disposal; spill prevention, control, and countermeasures (SPCC); oil and chemical storage tanks, above and below ground; resource recovery and recycling; solid waste collection and disposal; hazardous waste storage, treatment, and disposal, including manifest tracking records; pest management, including integrated pest management plans and pesticide and disposal use records; toxic substances control and disposal, including polychlorinated biphenyls (PCBs) and asbestos; Superfund; threatened or endangered species and other biological and habitat consultations and take actions; dredge and fill; and floodplain and land use variances.</p>		
<p>906-02c. Environmental Management System (EMS) and Compliance/Conformance Audit Records. Records documenting the development, implementation, and review of EMS and environmental compliance/conformance audits at USGS facilities. Records include associated guidance memorandum, status reports, audit reports, and corrective action reports.</p>	<p>Cutoff on close of case. Transfer to FRC. Destroy 100 years after close of case</p>	<p>New Item</p>
<p>906-02d. Environmental Training Records. Records documenting training of Bureau environmental staff, some of which is required under Federal and/or State regulations. Records include guidance memoranda, copies of training completion records, and status reports.</p>	<p>Cutoff at the end of the fiscal year. Destroy when 10 years old or when superseded or obsolete, whichever is sooner.</p>	<p>New Item</p>
<p>907. National Environmental Policy Act (NEPA) Records.</p>		
<p>907-01. NEPA Regulations, Policy, Procedures, and Guidance Documents. Records documenting USGS NEPA policies and procedures in compliance with Chapter 9, Part 516 of the Department of the</p>	<p>Cutoff at the end of the fiscal year. Destroy when 5 years old or when canceled, superseded, or obsolete, whichever is sooner.</p>	<p>New Item</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
Interior's (DOI) Manual (DM 516) and NEPA policy memorandums and other guidance documents prepared by the Council on Environmental Quality (CEQ), DOI, and the Bureau.		
<p>907-02. USGS Environmental Impact Statements (EIS), Environmental Assessments (EA), and Cooperating Agency Records. Records related to the preparation, publication, and public review and comment of EISs and EAs prepared by the USGS for proposed activities that may impact the environment or when the USGS is a cooperating agency on another agency's NEPA document. EISs and EAs are developed consistent with Chapter 9 of DM 516. Records arranged by project. Records include: public notices, scoping meeting announcements, and meeting minutes; environmental data and analysis documents; draft and final EISs and EAs; public comment correspondence and documents; decision documents; mitigation plans, activities, and progress reports (transfer to Item 906-02c when mitigation plans and activities are incorporated into a facility-specific environmental management system); cooperating agency correspondence, agreements, and related records; and other related correspondence.</p>	<p>Cutoff when project-specific NEPA mitigation activities have been completed. Transfer to FRC 20 years after cutoff or when volume warrants. Destroy 100 years after cutoff.</p> <p>NOTE: A review of the records by the USGS Chief of Environmental Affairs Program must be conducted prior to destruction and concurrence obtained by the USGS Senior Advisor for Science Applications (or other representative from the Director's Office that oversees NEPA activities) to ensure there are no outstanding environmental liability issues.</p>	RCS/Item 202-08a and N1-57-83-3, Item 38a
<p>907-03. Records Associated with USGS Review of NEPA and Other Environmental Documents Prepared by Other Agencies. Records associated with USGS review of EISs, EAs, and other environmental documents prepared by another agency. Records are retained only when the USGS submits comments to another agency. Records are arranged by project number.</p>	Cutoff at the end of the calendar year after release of review comments. Destroy 10 years after cutoff.	RCS/Item 202-08b and N1-57-83-3, Item 38b
<p>907-04. Document Review Status Reports and General Files. Records include periodic reports on the status of Bureau review of NEPA and other environmental</p>	Cutoff at the end of the fiscal year. Destroy when 5 years old or when superseded or obsolete,	New Item

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
documents prepared by other agencies, and general correspondence and other records relating to NEPA, not otherwise covered in this schedule.	whichever is sooner.	

U.S. Geological Survey
Chapter 900. Emergency Planning, Safety, Security, and Environmental
Records

Cross Index

ITEM NUMBER	SUBJECT	SUPERSEDED CITATION
901	Classified Information Files	
901-01	Program and Policy Guides and Classification Manual Policy Files	N1-57-02-04, Item 901-01a(1)
901-02	General Files	N1-57-02-04, Item 901-01c and GRS 18, Item 1
901-03	Destruction Certificates Files	RCS/Item 306-03 and GRS 18, Item 3
901-04	Classified Document Inventory Files	RCS/Item 306-04 and GRS 18, Item 4
901-05	Top Secret Accounting and Control Files	
901-05a	Registers Maintained at Control Points.	RCS/Item 306-05a and GRS 18, Item 5a
901-05b	Forms Accompanying Documents.	RCS/Item 306-05b and GRS 18 Item 5b
901-06	Access Request Files	RCS/Item 306-06 and GRS 18, Item 6
901-07	Security Container Records	
901-07a	Forms or Lists	RCS/Item 306-07a and GRS 18, Item 7a
901-07b	Forms Placed on Safes, Cabinets, or Vaults Containing Classified Documents.	RCS/Item 306-07b and GRS 18, Item 7b
902	Protection Program Administrative Records	
902-01	Security and Protective Services Administrative Correspondence Files	N1-57-02-04, Item 902-01 and GRS 18, Item 8
902-02	Technical Surveillance Countermeasures	

Files

902-02a	Threat Files	N1-57-02-04, Item 902-02a
902-02b	Hazard and Penetration Files	N1-57-02-04, Item 902-02b
902-03	Security Alarm and Access Control System Files	
902-03a	System Manufacturers Documentation	N1-57-02-04, Item 902-03a
902-03b	Systems Operations Files	N1-57-02-04, Item 902-03b
902-03c	Open Storage Approval Records	N1-57-02-04, Item 902-03c
902-03d	Activity Journals	N1-57-02-04, Item 902-03d
902-03e	Maintenance Records	N1-57-02-04, Item 902-03e
902-04	Master Safeguards and Security Agreements and Security Plans	N1-57-02-04, Item 902-04
902-05	Physical Security Files	
902-05a	Facilities Subject to Licensing	
902-05a(1)	If License is Granted	N1-57-02-04, Item 902-05a(1)
902-05a(2)	If License is not Granted	N1-57-02-04, Item 902-05a(2)
902-05b	Facilities not Subject to Licensing	N1-57-02-04, Item 902-05b
902-06	Foreign Ownership, Control, or Influence Files	
902-06a	Unsuccessful Bidder Files	N1-57-02-04, Item 902-06a
902-06b	Successful Bidder (Contractor) Files	N1-57-02-04, Item 902-06b
902-07	Facilities Survey and Inspection Files (Government-owned Facilities)	RCS/Item 306-09 and GRS 18, Item 9
902-08	Facilities Survey and Inspection Files (Privately-owned Facilities)	RCS/Item 306-10 and GRS 18, Item 10
902-09	Investigative Files	RCS/Item 306-11 and GRS 18, Item 11
902-10	Misuse of Government Property	
902-10a	Records Maintained by USGS Elements	N1-57-02-04, Item 902-10a

902-10b	Records Maintained by USGS Contractors	N1-57-02-04, Item 902-10b
902-11	Incident of Security Concern Inquiry and Investigation Files	N1-57-02-04, Item 902-11
902-12	Property Pass Files	RCS/Item 306-12 and GRS 18, Item 12
902-13	Key Accountability Files	
902-13a	For Areas Under Maximum Security	RCS/Item 306-13a and GRS 18, Item 16a
902-13b	For Other Areas	RCS/Item 306-13b and GRS 18, Item 16b
902-14	Guard and Security Police Officer Assignment Files	
902-14a	Ledger Records	RCS/Item 306-19a and GRS 18, Item 13a
902-14b	Requests, Analyses, Reports, Change Notices, and Other Papers Relating to Post Assignments and Strength Requirements	RCS/Item 306-19b and GRS 18, Item 13b
902-15	Guard and Security Service Control Files	
902-15a	Control Center Key or Code Records, Emergency Call Cards, and Building Record and Employee Identification Cards	RCS/Item 306-22 and GRS 18, Item 19a
902-15b	Round Reports, Service Reports on Interruptions and Tests, and Punch Clock Dial Sheets	N1-57-02-04, Item 902-15b and GRS 18, Item 19b
902-15c	Automatic Machine Patrol Charts and Registers of Patrol and Alarm Services	N1-57-02-04, Item 902-15c and GRS 18, Item 19c
902-15d	Arms Distribution Sheets, Charge Records, and Receipts	N1-57-02-04, Item 902-15d and GRS 18, Item 19d
902-16	Police Functions Files	
902-16a	Ledger Records of Arrests, Cars Ticketed, and Outside Police Contacts	N1-57-02-04, Item 902-16a and GRS 18, Item 14a
902-16b	Reports, Statements of Witnesses, Warning Notices, and Other Documents	N1-57-02-04, Item 902-16b and GRS 18, Item 14b

Relating to Arrests, Commitments, and
Traffic Violations

902-16c	Reports on Contact of Outside Police with Building Occupants	N1-57-02-04, Item 902-16c and GRS 18, Item 14c
902-17	Trespass Investigative Files	N1-57-02-04, Item 902-17
902-18	Visitor Control Files	
902-18a	For Areas Under Maximum Security	N1-57-02-04, Item 902-18a and GRS 18, Item 17a
902-18b	For Other Areas	N1-57-02-04, Item 902-18b and GRS 18, Item 17b
902-19	Visitor Access Approval Files	
902-19a	Files Retained by Sites (Incoming Visitor Control) with Potential for Exposure to Hazardous Materials	N1-57-02-04, Item 902-19a
902-19b	Files Retained by Sites (Incoming Visitor Control) without Potential for Exposure to Hazardous Materials	N1-57-02-04, Item 902-19b
902-19c	Files Retained by Requesting Office (Outgoing Visitor Control)	N1-57-02-04, Item 902-19c
902-19d	Duplicate Copies used to Notify other On-site Offices of the Intended Visit	N1-57-02-04, Item 902-19d
902-20	Facilities Check Files.	
902-20a	Data Sheets, Door Slip Summaries, Check Sheets, and Guard Reports on Security Violations.	RCS/Item 306-21 and GRS 18, Item 18a
902-20b	Reports of Routine After-Hours Security Checks which either do not Reflect Security Violations or for which the Information contained therein is Documented in the Files Referenced in Item 902-11	N1-57-02-04, Item 902-20b and GRS 18, Item 18b
902-21	Logs and Registers	
902-21a	Central Guard Office Master Logs	RCS/Item 306-23a and GRS 18, Item 20a

902-21b	Individual Security Post Logs of Occurrences Entered in Master Logs	RCS/Item 306-23b and GRS 18, Item 20b
902-22	Credential Files	
902-22a	Identification Credentials	RCS/Item 307-08a and GRS 11, Item 4a
902-22b	Receipts, Indexes, Listings, and Accountable Records	RCS/Item 307-08b and GRS 11, Item 4b
903	Personnel Security Records	
903-01	Security Clearance and Access Authorization Administrative Subject Files	
903-01a	Correspondence Granting Access Authorizations not Maintained in Official Personnel Files	N1-57-02-04, Item 903-01a
903-01b	Briefing and Debriefing Statements	N1-57-02-04, Item 903-01b
903-01c	Termination Statements or Correspondence not Maintained in Official Personnel files	N1-57-02-04, Item 903-01c
903-01d	Lists Identifying Employees by Assigned Number used for Indexing or References	N1-57-02-04, Item 903-01d
903-01e	Reports Related to Personnel Security Issues	N1-57-02-04, Item 903-01e
903-01f	Outgoing Transfer Record Tracking Files for Personnel Security Files sent to other USGS Facilities	N1-57-02-04, Item 903-01f
903-02	Security Clearance and Access Authorization Administrative Policy Subject Files	
903-02a	Program and Policy Guides, Access Authorization Manuals, and Documents used as Guides in Administering the Security Program	N1-57-02-04, Item 903-02a
903-02b	Files Documenting the Development of Access Authorization Policy, Includes Policy Studies	N1-57-02-04, Item 903-02b
903-02c	Procedures Implementing USGS Access	N1-57-02-04, Item 903-02c

Authorization Policy and Guides

903-03	Administration and Operation Files	N1-57-02-04, Item 903-03
903-04	Contract Investigative Records Maintenance (HSPD-12 Credentialing Records)	
903-04a	Contractor HSPD-12 Credentialing Files	New Item
903-05	Security Clearance and Access Authorization Case Records	
903-05a	Personnel Security Files	RCS/Item 306-15a and GRS 18, Item 22a
903-06	Security Clearance and Access Authorization Status Files	RCS/Item 306-16 and GRS 18, Item 23
903-07	Security Violations Files	N1-57-02-04, Item 903-07 and GRS 18, Item 24
903-08	Classified Information Non-Disclosure Agreements	

904 Safety Management Records

904-01	Safety Files	
904-01a	Correspondence of a General Nature Pertaining to Safety Subjects.	N1-57-02-04, Item 904-01a
904-01b	Safety Issues, Complaints, and Inquires Received by USGS Personnel	N1-57-02-04, Item 904-01b
904-01c	Safety Awards	N1-57-02-04, Item 904-01c
904-02	Safety and Statistical Reports	N1-57-02-04, Item 904-02 (Combined 904-02 and 904-05d)
904-03	Safety Procedures and Programs	N1-57-02-04, Item 904-03
904-04	Safety Policies	N1-57-02-04, Item 904-04
904-05	Accident Files	
904-05a	Motor Vehicle, Aircraft, and Watercraft Accident Files	N1-57-02-04, Item 904-05a (Combined 904-05a, 904-05b, 904-05b(1), 904-05b(2), 904-05b(3), 904-05c, 904-05c(1), 904-05c(2), and 904-05c(3))

904-05b	General Accident Files	N1-57-02-04, Item 904-05e (Combined 904-05e, 904-05f, and 904-05g)
904-06	Records that Demonstrate the Capability for Safe Operations	N1-57-02-04, Item 904-06a (Combined 904-06, 904-06a, and 904-06b)
904-07	Records that Verify the Performance of Safe Operations	N1-57-02-04, Item 904-07
904-08	Safety and Security Training	N1-57-02-04, Item 904-09a
904-08a	General Training Records	N1-57-02-04, Item 904-09a (Combined 904-09, 4-09a, and 904-10c)
904-08b	Federal Employee and Contractor Records	N1-57-02-04, Item 904-09b
904-09	Occupational Safety and Health Administration (OSHA) Files	
904-09a	Chemical Files	N1-57-02-04, Item 904-10b
904-09b	Exposure Records	New Item
904-09c	Industrial Hygiene	New Item
904-09d	Protective Clothing Reviews and Approvals	N1-57-02-04, Item 908-09
904-09e	General Correspondence	New Item
904-09f	Citation and Notifications	New Item
904-09g	Communication Files	New Item
904-10	Equipment Records	New Item
904-11	General Work Permits	New Item
904-12	Asbestos Records	New Item
905	Emergency Planning Records	
905-01	Emergency Planning Administrative Correspondence Files	N1-57-02-04, Item 905-01 and GRS 18, Item 26
905-02	Emergency Planning Program Correspondence Files	
905-02a	Program and Policy Guides, Information	N1-57-02-04, Item 905-01b(1)

Papers, Operational Manuals, and Documents
Used as Guides for Determining
Appropriate Agency Action.

905-02b	Emergency Planning Reports of Operations Tests, Consisting of Consolidated or Comprehensive Reports Reflecting Bureauwide Results of Tests Conducted under Emergency Plans	N1-57-02-04, Item 905-01b(2)
905-02c	Files Documenting the Development of Policy, Including Policy Guides	N1-57-02-04, Item 905-01b(3)
905-02d	Procedures and Activities Implementing USGS Policy and Guides	N1-57-02-04, Item 905-01b(4)
905-03	Emergency Planning Case Files	N1-57-02-04, Item 905-01c and GRS 18, Item 27
905-04	Emergency Operations Test Files	N1-57-02-04, Item 905-01d and GRS 18, Item 28
905-05	Fire Management Records	
905-05a	Fire Logs	N1-57-02-04, Item 908-10c
905-05b	Fire Alarms	N1-57-02-04, Item 908-10e
906	Environmental Management, Permitting, And Compliance Records	
906-01	Environmental Management, Permitting, And Compliance Policy and Guidance Files	New Item (Revision of 906-01, 02, and 03)
906-02	Environmental Management, Permitting, and Compliance Case Files	
906-02a	Correspondence and Meeting Notes	New Item
906-02b	Environmental Permit and Compliance Records	New Item (Includes N1-57-02-04, Item 904-10a)
906-02c	Environmental Management System (EMS) and Compliance/Conformance Audit Records	New Item
906-02d	Environmental Training Records	New Item
907	National Environmental Policy Act (NEPA) Records	

907-01	NEPA Regulations, Policy, Procedures, and Guidance Documents	New Item
907-02	USGS Environmental Impact Statements (EIS), Environmental Assessments (EA) And Cooperating Agency Records	RCS/Item 202-08a and N1-57-83-3, Item 38a
907-03	Records Associated with USGS Review of NEPA and Other Environmental Documents Prepared by Other Agencies	RCS/Item 202-08b and N1-57-83-3, Item 38b
907-04	Document Review Status Reports and General Files	New Item (Combined 907-01f and 907-01g; however, changed disposition)

Deleted Items

- 906-04 – Environmental Analysis, Management Studies, and Endangered species Act
- 906-05 – Environmental Assessment and Evaluation Methodology
- 907-01a – Draft EIS's, created in the bureau, with documentation and back-up materials.
- 907-01b – Final EIS's, created in the bureau, with documentation and back-up materials.
- 907-01d – EIS's created in other agencies and no bureau review is required.
- 908-01 - Cultural Resources
- 908-02 - Wildlife Resources
- 908-03 - Fish Resources
- 908-04 Mineral Resources
- 908-05 – Clean Water Act
- 908-06 – Clean Air Act
- 908-07 – Pest Management Program
- 908-08 – Environmental Commitment
- 909 – Electronic Mail and Word Processing System Copies – Entire section including 909-01, 909-01a, and 909-01b.

CHAPTER 1000. PROPERTY MANAGEMENT

Records contained in this section pertain to responsibilities associated with planning, direction, and administration of bureau personal property; motor vehicle, aircraft, and watercraft management; energy conservation management, museum management; and real property management and maintenance (including space and facilities management).

Chapter 1000 Topics. This section provides for the disposition of the following:

- | | |
|-------|--|
| 1001. | Personal Property Management Program |
| 1002. | Motor Vehicle, Aircraft, and Watercraft Management Files |
| 1003. | Energy Conservation Case Files |
| 1004. | Museum Property Files |
| 1005. | Real Property Management Program |

1001. Personal Property Management Program Files include the following records:

- | | |
|---------|--|
| 1001-01 | General Personal Property Management Files – General records relating to personal property management topics not otherwise covered in this schedule. |
| 1001-02 | Personal Property Custodian Files – Supporting documentation for property in USGS custodians' care. |
| 1001-03 | Fixed Assets Subsystem – Electronic tables and accountability information about capitalized and not-capitalized accountable property that the USGS is required to track. |
| 1001-04 | Property Management Interface System (PMIS) – Duplicates the accountable property records in the Fixed Assets Subsystem (FAS) and allows bureau Custodial Property Officer's (CPO's) to update and track property. |
| 1001-05 | Personal Property Loan Activities – Files on property loans. |
| 1001-06 | Personal Property Disposal Case Files – Files maintained on donations, Reports of Survey, unserviceable property, cannibalization, and excess personal property. |
| 1001-07 | Bureau Board of Survey Files – Findings, recommendations, and appeals for property that are lost, stolen, or damaged beyond their repair. |

1002. Motor Vehicle, Aircraft, and Watercraft Management Files include the following records:

- | | |
|---------|---|
| 1002-01 | General Motor Vehicle, Aircraft, and Watercraft Management Files – Records not otherwise covered in this schedule. |
| 1002-02 | Motor Vehicle, Aircraft, and Watercraft Alleged Misuse Files – Copies of allegations, investigative reports, and any other related records. |
| 1002-03 | Motor Vehicle, Aircraft, and Watercraft History, Operation and Use, Maintenance, and Release and Transfer Files – Case files documenting operations from acquisition to disposal. |
| 1002-04 | Motor Vehicle, Aircraft, and Watercraft Operator Files – Records relating to employee operations of Government-owned motor vehicles, aircraft, or watercraft. |

1003. Energy Conservation Case Files include the following records:

- 1003-01 General Energy Conservation Management Files – Correspondence, policies, reports, and other records not otherwise covered in this schedule.
- 1003-02 Long-Term Statistical and Trend Data Compilations and Summaries – Periodic analysis reports and summaries.

1004. Museum Property Files include the following records:

- 1004-01 Museum General Management Files – Correspondence, policies, reports, and other records on museum management not otherwise covered in this schedule.
- 1004-02 Museum Accountability Files – Case history files.

1005. Real Property Management Program Files include the following records:

- 1005-01 General Real Property Management Files – Correspondence and other records relating to bureau real property management, including space and facility management.
- 1005-02 Real Property Management Policies and Procedures – Policies and procedures and related files.
- 1005-03 Real Property Reports - Miscellaneous reports relating to bureau real property management, including space and facility management
- 1005-04 Bureau-Owned Real Property – Miscellaneous documents relating to bureau-owned real property.
- 1005-05 Real Property Maintenance Records – Miscellaneous documents relating to real property maintenance and deferred maintenance.
- 1005-06 Building Operations Plans – Miscellaneous records used in space planning.
- 1005-07 GSA and Bureau-Leased Space Files – Correspondence related to bureau space holdings and requirements.
- 1005-08 Federal Real Property Management (FRPM) System – System records related to maintaining the bureau inventory of GSA-provided space and USGS-owned and leased real property.

What records in this chapter are important or considered permanent USGS records?

- Personal Property Custodian Files.
- Data in the Fixed Assets Subsystem.
- Museum Accountability Files.
- Real Property Management and Maintenance Policies and Procedures.
- Bureau-owned Real Property Documents.
- Real Property Maintenance Plans and Projects.
- Building Operations Plans and Space Holdings.
- Data contained in the FRPM used to Process the Monthly GSA Bill.

What records in this section are considered temporary USGS records?

- General Personal Property Management Files and Disposal Case Files.
- PMIS System Files.
- Bureau Board of Survey Files.
- General Motor Vehicle, Aircraft, and Watercraft; Alleged Misuse Files; Management files; History, Operation and Use, Maintenance, Release and Transfer Files; and Operator Files.
- General Energy Conservation Case Files and Long-term Data Summaries.
- Museum General Management Files.
- Real Property Management and Maintenance General Files and Reports.
- Excess Real Property Files.
- Building and Equipment Service Records.

Questions?

Contact the USGS Records Manager or your discipline or regional Records Liaison Officer - <http://internal.usgs.gov/gio/irm/fmassis2.html>

CHAPTER 1000. PROPERTY MANAGEMENT

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
1001. Personal Property Management Program.		
1001-01. General Personal Property Management Files. General correspondence, classification identification, policies, procedures, reports, and other records relating to personal property management topics not otherwise covered in this schedule.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff or when superseded, revoked, canceled, or no longer needed, whichever is sooner.	N1-57-02-04, Item 1001-03
1001-02. Personal Property Custodian Files. Includes supporting documentation establishing accountability and responsibility for all property items in USGS custodians' care.	Retain until the custodian leaves the bureau. Move to inactive file upon separation. Destroy when no longer needed for reference purposes.	RCS/Item 307-10a and NC1-57-87-1, Item 1a
1001-03. Fixed Assets Subsystem. Fixed Assets Subsystem (FAS) of the Federal Financial System (FFS) is the official property system of the bureau. The FAS consists of electronic tables, which support the bureau's general ledger capitalized asset account in the FFS, as well as accountability information about all capitalized accountable and non-capitalized accountable property which the USGS is required to track. The accountability data in the FAS is supported by paper records in the official file (Item 1001-02).		
1001-03a. Inputs. Electronic inputs consist of each property item's description location, Custodial Property Officer (CPO), serial number, and cost.	Delete or destroy after input and verification of data into master file or when no longer needed to support the reconstruction of the master file, whichever is later.	N1-57-02-04, Item 1001-05b(1) and GRS 20, Item 3b
1001-03b. Master File. Data pertaining to all active accountable property presently owned or leased by the USGS, with history of changes to such records from 1987 to the present. The keys are Fixed Asset Type, Fixed Asset Number, and Fixed Asset	Delete individual record upon receipt of approved property disposition documentation; records are maintained in the history table indefinitely for audit	N1-57-02-04, Item 1001-05b(2) and GRS 20, Item 3b

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
Betterment Number, although some FAS tables are keyed differently.	purposes.	
1001-03c. Outputs. Property Receipt and Accountability Report (form RFA-65) is produced on demand and sent to CPO for verification of information, signature, and equipment serial number.		
1001-03c(1). Electronic Copy.	Database back-ups are done twice nightly (before and after processing) and are deleted after 5 working days. Electronic copy only exists while user is reviewing an on-line query. Deleted upon system exit.	N1-57-02-04, Item 1001-05b(3)(a) and GRS 20, Item 3b
1001-03c(2). Recordkeeping Copy (Paper).	Keep in accountability files until the CPO leaves the bureau.	NC1-57-87-1, Item 10a
1001-03d. System Documentation. Consists of Fixed Assets Subsystem Requirements Analysis, user guide, and other system documentation.	Cutoff when system is replaced. Destroy 6 years 3 months after cutoff.	N1-57-02-04, Item 1001-05b(4)
1001-04. Property Management Interface System (PMIS). This system duplicates the accountable property records in the FAS and allows bureau CPO's to update and track the building, room number, and Cognizant Employee (CE) for each item of property under the CPO's control. Also allows CPO's to track non-accountable property, which is not tracked in the FAS.		
1001-04a. Inputs. Electronic inputs consist of building, room number, and CE for accountable property; the official accountable property item records are established in the FAS and then downloaded electronically to the PMIS in batch mode. Non-accountable property inputs consist of item description, serial number, cost, and other information the CPO thinks is pertinent.	Delete or destroy after input and verification of data into master file or when no longer needed to support the reconstruction of the master file, whichever is later.	N1-57-02-04, Item 1001-05e(1) and GRS 20, Item 3b
1001-04b. Master File. Consists of two databases: one database contains	Accountable records are modified to show change in	N1-57-02-04, Item 1001-05c(2) and

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
accountable property records and the other contains non-accountable property records. There is no interface between the non-accountable database and any others.	status when item is disposed of and deleted in the FAS.	GRS 20, Item 3b
1001-04c. Outputs. Provides CPO's and other managers with on-line queries and reports that show what items a CPO or CE is responsible for; these reports are needed to conduct the required annual inventory of accountable property. Also consists of various other ad hoc queries and reports that can be modified as needed for unusual data calls. Some reports include a signature line that can be signed by the responsible employee.		
1001-04c(1). Electronic Copy.	Electronic copy only exists while user is reviewing an on-line query. Deleted upon system exit.	N1-57-02-04, Item 1001-05c(3)(a) and GRS 20, Item 3b
1001-04c(2). Recordkeeping Copy (Paper).	For reports submitted by the CPO to the Property Management Branch, maintain in accountability files until CPO separates from the bureau. Destroy upon separation.	NC1-57-87-1, Item 10a
1001-04d. System Documentation. Consists of PMIS User Guide.	Cutoff when system is replaced. Destroy 6 years 3 months after cutoff.	N1-57-02-04, Item 1001-05c(4)
1001-05. Personal Property Loan Activities. Material accumulated as a result of property loans. Includes, but not limited to, loan agreements and any associated documentation.	Cutoff when property is returned. Destroy 2 years after property is returned.	N1-57-02-04, Item 1001-06
1001-06. Personal Property Disposal Case Files. Case files maintained on donations, Reports of Survey, unserviceable property, cannibalization, and excess personal property. Include all related correspondence with file.		
1001-06a. Record Copy.	Move to inactive file upon disposal. Destroy 7 years after disposal.	RCS/Item 307-02 and NC1-57-81-4, Item 23
1001-06b. All Other Copies.	Move to inactive file upon	N1-57-02-04, Item

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
	disposal. Destroy 1 year after disposal.	1001-07b
1001-07. Bureau Board of Survey Files. Actions taken by the Bureau Board of Survey for items that are lost, stolen, or damaged beyond repair. Includes, but not limited to, findings, recommendations, and appeals.	Destroy 6 years after case is closed.	N1-57-02-04, Item 1001-08
1002. Motor Vehicle, Aircraft, and Watercraft Management Files.		
1002-01. General Motor Vehicle, Aircraft, and Watercraft Management Files. General correspondence, policies, procedures, reports, and other records relating to motor vehicle, aircraft, and watercraft management topics not otherwise covered in this schedule. (Excludes accident files, see Item 904-05).	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff or when superseded, revoked, canceled, or no longer needed, whichever is sooner.	N1-57-02-04, Item 1002-03
1002-02. Motor Vehicle, Aircraft, and Watercraft Alleged Misuse Files. Documents created in reviewing reports of alleged or observed misuse of motor vehicles, aircraft, watercraft, or their facilities. They include such things as copies of allegations, correspondence, supporting data, investigative reports, recommendations, reports of actions taken, and any related records.	Cutoff when all recommendations or actions have been implemented or taken. Destroy 3 years after cutoff.	N1-57-02-04, Item 1002-04
1002-03. Motor Vehicle, Aircraft, and Watercraft History, Operation and Use, Maintenance, and Release and Transfer Files. Case files, documenting information on motor vehicle, aircraft, or watercraft operations from acquisition to disposal. Includes, but not limited to, gas and oil consumption, use requests and schedules, approval(s) and justifications, if necessary, cost files, hazard analysis, registration documentation, manuals, maintenance records, inspections, and other related use documentation. Includes summary reports of use and activity and all information relating to the transfer, sale, donation, or	Cutoff at the end of the fiscal year. Destroy 7 years after motor vehicle, aircraft, or watercraft disposal.	N1-57-02-04, Item 1002-05b

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
exchange. (Excludes accident files, see Item 904-05).		
1002-04. Motor Vehicle, Aircraft, and Watercraft Operator Files. Records relating to individual employee operations of Government-owned motor vehicles, aircraft, or watercraft including driver tests, authorization to use, read test examiner files, watercraft use training, pilot training, and related correspondence.	Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate government-owned motor vehicle, aircraft, or watercraft, whichever is sooner.	N1-57-02-04, Item 1002-05c
1003. Energy Conservation Case Files.		
1003-01. General Energy Conservation Management Files. General correspondence, policies, procedures, reports, and other records relating to energy conservation management topics not otherwise covered in this schedule.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff or when superseded, revoked, canceled, or no longer needed, whichever is sooner.	N1-57-02-04, Item 1003-03
1003-02. Long-term Statistical and Trend Data Compilations and Summaries. Periodic analysis reports and summaries.	Destroy when 15 years old.	New Item
1004. Museum Property Files.		
1004-01. Museum General Management Files. General correspondence, policies, procedures, reports, and other records on all aspects of museum management not otherwise covered in this schedule.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff or when superseded, revoked, canceled, or no longer needed, whichever is sooner.	N1-57-02-04, Item 1004-03
1004-02. Museum Accountability Files. Case history files, including a photograph, documenting accessioning, cataloguing, loans, conservation, preservation, and maintenance of museum property, artifacts, artwork, archeological, and historical collections and renderings. Files also include planning, preparation, rehabilitation, and preservation of museum objects as well as information on location of property, i.e., in storage, on exhibit, or on loan. If applicable, contains	Maintain records with museum property, artifacts, artwork, or collection until transferred or deaccessioned. If transferred, include records with transfer. If deaccessioned, place records in inactive file. Cutoff inactive file annually. Destroy inactive file 5 years after cutoff.	N1-57-02-04, Item 1004-04

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
construction and reconstruction projects.		
1005. Real Property Management Program.		
1005-01. General Real Property Management Files. General correspondence and other records relating to bureau real property management, including space and facility management.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.	N1-57-02-04, Item 1005-01
1005-02. Real Property Management Policies and Procedures. Policies and procedures pertinent to bureau real property management, including space and facility management.	Place in inactive file when canceled, superseded, or revoked. Destroy when no longer needed for reference purposes.	N1-57-02-04, Item 1005-02
1005-03. Real Property Reports. Miscellaneous reports relating to bureau real property management, including space and facility management.	Cutoff at the end of the fiscal year. Destroy when 2 years old.	N1-57-02-04, Item 1005-03
1005-04. Bureau-Owned Real Property. Miscellaneous documents relating to bureau-owned real property, including condition assessment results, deeds, purchases, exchanges, donations, surveys of real property, records on valuations, capital improvements, and renovation/construction specifications. (Excludes records relating to property acquired prior to January 1, 1921.) (See Section 907 for filing of Environmental Impact Statements required by the National Environmental Policy Act of 1969.)		
1005-04a. Records relating to property acquired after December 31, 1920, other than abstract or certificate of title.	Dispose of 10 years after unconditional sale or release by the government of conditions, restrictions, mortgages, or other liens.	RCS/Item 307-05a and GRS 3, Item 1a
1005-04b. Abstract or Certificate of Title.	Transfer to purchaser after unconditional sale or release by the government of conditions, restrictions, mortgages, or other liens.	RCS/Item 307-05b and GRS 3, Item 1b
1005-04c. Copies of real property and related work papers held in subordinate reporting units.	Cutoff at the end of the fiscal year. Destroy when superseded, obsolete, or no	N1-57-02-04, Item 1005-04c

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
	longer needed.	
<p>1005-04d. Records Necessary or Convenient for the Use of Real Property Sold, Donated, or Traded to Non-Federal Ownership. Include, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists as well as duplicate copies of title papers, provided (a) that the records can be segregated without harm to other documents of enduring value, (b) that no responsibility attaches to the government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and (c) that if the property is released for historical use or purpose, the user agrees to retain it and return it to the Federal Government immediately upon the discontinuance of its use for historical purposes.</p>	Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage.	RCS/Item 307-05c and GRS 4, Item 4
<p>1005-04e. Excess Real Property Files. Reports of excess real property.</p>	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	RCS/Item 307-04 and GRS 4, Item 2
<p>1005-05. Real Property Maintenance Records. Miscellaneous documents relating to real property and deferred maintenance.</p>		
<p>1005-05a. General Real Property Maintenance Files. General correspondence and other records relating to bureau real property maintenance and deferred maintenance activities.</p>	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.	N1-57-02-04, Item 1005-05a
<p>1005-05b. Real Property Maintenance Policies and Procedures. Policies and procedures pertinent to bureau real property maintenance and deferred maintenance</p>	Place in inactive file when canceled, superseded, or revoked. Destroy when no longer needed for reference	N1-57-02-04, Item 1005-05b

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
activities.	purposes.	
1005-05c. Real Property Maintenance Reports. Miscellaneous reports and assessments relating to USGS real property maintenance and deferred maintenance activities.	Cutoff at the end of the fiscal year. Destroy when 3 years old.	N1-57-02-04, Item 1005-05c
1005-05d. Real Property Maintenance Plans and Projects. Miscellaneous bureau real property maintenance and deferred maintenance plans and projects. Includes studies, drawings, schematics, and other related records.	Retain 5-year deferred maintenance plans for project tracking through full cycle until completed. Destroy other files when 10 years old or when plans are canceled, superseded, or obsolete.	N1-57-02-04, Item 1005-05d
1005-05e. Building and Equipment Service Records. Requests for building and equipment maintenance services, excluding fiscal copies.	Destroy 3 months after work is performed or requisition is canceled. If manufacturer's or contractor's warranty is acquired, retain purchase or required documents until expired.	N1-57-02-04, Item 1005-05e and GRS 11, Item 5
1005-06. Building Operations Plans. Miscellaneous bureau building plan files, workspace layouts, monthly General Services Administration (GSA) rent bills, surveys, and related agency records used in space planning.	Destroy 2 years after space is vacated, or when lease is canceled or when plans are superseded or obsolete, whichever is later.	N1-57-02-04, Item 1005-06
1005-07. GSA and Bureau-Leased Space Files. Correspondence relating to bureau space holdings and requirements. Includes requests to GSA, such as the SF-81, Request for Space, and related documents, occupancy agreements (OAs), GSA and USGS leases, and supplemental lease agreements (SLAs).	Destroy 2 years after space is vacated, or when lease is canceled or when plans are superseded or obsolete, whichever is later.	N1-57-02-04, Item 1005-07a
1005-08. Federal Real Property Management (FRPM) System. A system used to process the monthly GSA rent bill, maintain the databases of GSA-provided space and bureau-owned and -leased real property, and produce the Annual Report of Real Property Owned by or Leased to the United States, GSA Form 1166. The		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
system allows bureau real property and space management staff to maintain an up-to-date inventory of GSA-provided space and USGS-owned and -leased real property and to run monthly and ad hoc reports of GSA space and USGS real property.		
1005-08a. Inputs. Owned and leased real property data, consisting of each installation, including location, original Government acquisition information such as date and cost, and inventory data including square feet and predominant use of buildings and structures is manually inputted. Electronic file of monthly GSA rent bill is imported.	Input information is retained with the official real property management file until the property is disposed of, and then deleted. Electronic files of GSA data are retained until no longer needed. Records are maintained, in an electronic file, until no longer needed.	N1-57-02-04, Item 1005-08a
1005-08b. Master File. The system includes an inventory of GSA-provided and USGS-owned and -leased space. There is a monthly interface between the Federal Financial System (FFS) and this database to process the monthly GSA Rent Bill.	Delete electronic file when no longer needed.	N1-57-02-04, Item 1005-08b
1005-08c. Outputs. FRPM provides real property and space management staffs with on-line queries and batch reports of GSA-provided and USGS-owned and -leased space.		
1005-08c(1). Electronic Copy.	Delete after recordkeeping copy is produced or no longer needed for operational purposes, whichever is later.	N1-57-02-04, Item 1005-08c(1)
1005-08c(2). Recordkeeping Copy (Paper).	Cutoff at the end of the fiscal year. Retire records to storage facility 1 year after real property installation is disposed of by excessing, donating, etc. Destroy 3 years after disposal.	N1-57-02-04, Item 1005-08c(2)
1005-08c(3). GSA Rent Bill Summaries (Paper).	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	N1-57-02-04, Item 1005-08c(3)

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
1005-08d. System Documentation. Consists of FRPM user guide and data dictionary.	Cutoff when system is replaced. Destroy 1 year after cutoff.	N1-57-02-04, Item 1005-08d

**U.S. Geological Survey
Chapter 1000. Property Management**

Cross Index

ITEM NUMBER	SUBJECT	SUPERSEDED CITATION
1001	Personal Property Management Program	
1001-01	General Personal Property Management	N1-57-02-04, Item 1001-03 (Combined 1001-01, 02, and 03)
1001-02	Personal Property Custodian Files	RCS/Item 307-10a and NC1-57-87-1, Item 1a
1001-03	Fixed Assets Subsystem	
1001-03	Inputs	N1-57-02-04, Item 1001-05b(1) and GRS 20, Item 3b
1001-03b	Master File	N1-57-02-04, Item 1001-05b(2) and GRS 20, Item 3b
1001-03c	Outputs	
1001-03c(1)	Electronic Copy	N1-57-02-04, Item 1001-05b(3)(a) and GRS 20, Item 3b
1001-03c(2)	Recordkeeping Copy (Paper)	NC1-57-87-1, Item 10a
1001-03d	System Documentation	N1-57-02-04, Item 1001-05b(4)
1001-04	Property Management Interface System (PMIS)	
1001-04a	Inputs	N1-57-02-04, Item 1001-05c(1) and GRS 20, Item 3b
1001-04b	Master File	N1-57-02-04, Item 1001-05c(2) and GRS 20, Item 3b
1001-04c	Outputs	
1001-04c(1)	Electronic Copy	N1-57-02-04, Item 1001-05c(3)(a) and GRS 20, Item 3b
1001-04c(2)	Recordkeeping Copy	NC1-57-87-1, Item 10a

1001-04d	System Documentation	N1-57-02-04, Item 1001-05c(4)
1001-05	Personal Property Loan Activities	N1-57-02-04, Item 1001-06
1001-06	Personal Property Disposal Case Files	
1001-06a	Record Copy	RCS/Item 307-02 and NC1-57-81-4, Item 23
1001-06b	All Other Copies	N1-57-02-04, Item 1001-07b
1001-07	Bureau Board of Survey Files	N1-57-02-04, Item 1001-08
1002	Motor Vehicle, Aircraft, and Watercraft Management Files	
1002-01	General Motor Vehicle, Aircraft, and Watercraft Management Files	N1-57-02-04, Item 1002-03 (Combined 1002-01, 02, and 03)
1002-02	Motor Vehicle, Aircraft, and Watercraft Alleged Misuse Files	N1-57-02-04, Item 1002-04
1002-03	Motor Vehicle, Aircraft, and Watercraft History, Operation and use, Maintenance, and Release and Transfer Files	N1-57-02-04, Item 1002-05b (Combined 1002-05a and 05b)
1002-04	Motor Vehicle, Aircraft, and Watercraft Operator Files	N1-57-02-04, Item 1002-05c
1003	Energy Conservation Case Files	
1003-01	General Energy Conservation Management Files	N1-57-02-04, Item 1003-03 (Combined 1003-01, 02, and 03)
1003-02	Long-term Statistical and Trend Data Compilations and Summaries	New Item
1004	Museum Property Files	
1004-01	Museum General Management Files	N1-57-02-04, Item 1004-03 (Combined 1004-01, 02, and 03)
1004-02	Museum Accountability Files	N1-57-02-04, Item 1004-04 (Combined 1004-04, 05, and 06)
1005	Real Property Management Program	
1005-01	General Real Property Management Files	N1-57-02-04, Item 1005-01
1005-02	Real Property Management Policies and Procedures	N1-57-02-04, Item 1005-02

1005-03	Real Property Reports	N1-57-02-04, Item 1005-03
1005-04	Bureau-Owned Real Property	
1005-04a	Records Relating to Property Acquired After December 31, 1920, Other than Abstract or Certificate of Title	RCS/Item 307-05a and GRS 3, Item 1a
1005-04b	Abstract or Certificate of Title	RCS/Item 307-05b and GRS 3, Item 1b
1005-04c	Copies of Real Property and Related Work Papers held in Subordinate Reporting Units	N1-57-02-04, Item 1005-04c
1005-04d	Records Necessary or Convenient for the use of Real Property Sold, Donated, or Traded to Non-Federal Ownership	RCS/Item 307-05c and GRS 4, Item 4
1005-04e	Excess Real Property Files	RCS/Item 307-04 and GRS 4, Item 2
1005-05	Real Property Maintenance Records	
1005-05a	General Real Property Maintenance Files	N1-57-02-04, Item 1005-05a
1005-05b	Real Property Maintenance Policies and Procedures	N1-57-02-04, Item 1005-05b
1005-05c	Real Property Maintenance Reports	N1-57-02-04, Item 1005-05c
1005-05d	Real Property Maintenance Plans and Projects	N1-57-02-04, Item 1005-05d
1005-05e	Building and Equipment Service Records	N1-57-02-04, Item 1005-05e and GRS 11, Item 5
1005-06	Building Operations Files	N1-57-02-04, Item 1005-06
1005-07	GSA and Bureau-Leased Space Files	N1-57-02-04, Item 1005-07a
1005-08	Federal Real Property Management (FRPM) System	
1005-08a	Inputs	N1-57-02-04, Item 1005-08a
1005-08b	Master File	N1-57-02-04, Item 1005-08b
1005-08c	Outputs	
1005-08c(1)	Electronic Copy	N1-57-02-04, Item 1005-08c(1)

1005-08c(2)	Recordkeeping Copy (Paper)	N1-57-02-04, Item 1005-08c(2)
1005-08c(3)	GS Rent Bill Summaries (Paper)	N1-57-02-04, Item 1005-08c(3)
1005-08d	System Documentation	N1-57-02-04, Item 1005-08d

Deleted Items

- 1001-04 – Personal Property Classification.
- 1005-07b – Copies of GSA and Bureau-Leased Space Files
- 1006 – Electronic Mail and Word Processing System Copies – Entire section including 1006-01, 1006-01a, and 1006-01b.

CHAPTER 1100. AUDIOVISUAL RECORDS

This chapter authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

Chapter 1100 Topics. This section provides for the disposition of the following:

- 1101. Official Portraits of USGS Directors and Other High-Ranking USGS Officials
- 1102. General Photography Records
- 1103. Motion Picture Records
- 1104. Video recordings and Other Media Records
- 1105. Audio (Sound) Recordings
- 1106. Miscellaneous Records

1101. Official Portraits of USGS Directors and Other High-Ranking USGS Officials includes the following records:

- 1101-01 Official Portrait Photographs – Official photographs of USGS Directors and other high-ranking USGS officials.
- 1101-02 Portrait Photographs of Other USGS Personnel – Portrait photographs of USGS personnel or office staff other than the high-ranking officials.

1102. General Photography Records include the following records:

- 1102-01 Documentary and Research Photography – USGS Mission-Related Records.- Photographs used in USGS publications, exhibitions, or other media as well as documentary photographs.
- 1102-02 Photography – USGS Non-Mission Related Records – Photographs of routine award ceremonies, social events, and other activities not related to the USGS mission.

1103. Motion Picture Records include the following records:

- 1103-01 Motion Pictures – USGS-Sponsored and Mission Related Records – Informational, educational films; television news releases and announcements; and training films that explain USGS's functions or activities.
- 1103-02 Motion Pictures – Non-Mission Related Records – Training films and routine surveillance footage.

1104. Video Recordings and Other Media Records include the following records:

- 1104-01 Video Recordings and Other Media – USGS-Sponsored and Mission Related Records – Informational, educational videos; television news releases and announcements; and training videos that explain USGS's functions or activities.
- 1104-02 Videos Recordings and Other Media – Non-Mission Related Records – Training and surveillance recordings..

1105. Audio (Sound) Recordings include the following records:

1105-01 Audio Recordings – USGS-Sponsored and Mission Related Records – Speeches, press conferences, broadcast spots, and special emergency management feeds to broadcasters.

1106. Miscellaneous Records include the following records:

1106-01 Related Documentation – Production files, scripts, contracts, transcripts, releases, and finding aids.
1106-02 Audiovisual Administrative General Files – Correspondence of a general nature pertaining to the administration and oversight of audiovisual materials.

What records in this chapter are important or considered permanent USGS records?

USGS Central Region Library, Photo Library, Mail Stop 914, Denver, Colorado 80225.

<http://libraryphoto.cr.usgs.gov/>

USGS Audiovisual Archive
Contact Don Becker

<http://gallery.usgs.gov/>

- USGS Photographic Library in Denver, Colorado, official portrait photographs of USGS Directors and other high-ranking USGS officials and portrait photographs of other USGS personnel.
- Bureauwide official portraits of USGS Directors and high-level USGS personnel.
- Portraits of lower-level USGS personnel that are represented in photographic albums or notebooks that also contain portraits of high-level officials.
- Documentary and Research Photography – USGS mission-related photographs, i.e., USGS photographs that appear in USGS publications, exhibitions, or other media productions; documentary photographs; and photographs that depict the mission of the USGS. In addition to the original being sent to the National Archives, a master copy of all USGS photographs must be sent to the USGS’s central collection point – USGS Central Region Library, Photo Library, Mail Stop 914, Denver, Colorado 80225. Each photograph should include a caption, original negative and corresponding print, and name of the photographer. Photo size 5 x 7 preferred, if possible.
- USGS-sponsored and mission related motion pictures, video recordings, and other media which include informational, educational, recruiting, television releases, documentaries, and training that explain USGS’s functions or activities.
- A master copy of USGS-sponsored and mission related motion pictures and video recordings must be sent to the USGS Audiovisual Archive. Contact Don Becker for information.
- USGS-sponsored and mission related official USGS audio recordings such as press conferences, speeches, broadcast spots, and special emergency management feeds to broadcasters.

What records in this section are considered temporary USGS records?

- Routine photographs, such as taken at awards ceremonies, retirements, social events; passport photographs; and all other non-mission related photographs.
- Internal personnel and administrative non-mission related training filmstrips and slides.
- Routine and non-mission related motion pictures such as scientific footage, training films, and routine surveillance footage.
- Routine and non-mission related video footage such as rehearsal tapes, recordings of award ceremonies or routine meetings, outside training recordings or non-mission training recordings, and routine surveillance recordings.
- Routine and non-mission related audio recordings such as dictation tapes, recordings of meetings made exclusively for note taking, premix sound elements created during the course of a motion picture, and library sound recordings.
- Scripts, transcripts, releases, and finding aids used in such things as productions.
- General audiovisual records.

Questions?

Contact the USGS Records Manager or your discipline or regional Records Liaison Officer - <http://internal.usgs.gov/gio/irm/fmassis2.html>

CHAPTER 1100. AUDIOVISUAL RECORDS

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
1101. Official Portraits of USGS Directors and Other High-Ranking USGS Officials.		
1101-01. Official Portrait Photographs. Official portrait photographs of USGS Directors and other high-ranking USGS officials. Media can include black-and-white and color negative photography or slides.		
1101-01a. For All Post-2002 Formal and Candid Portraits. Maintained at the USGS Photographic Library in Denver, Colorado, of USGS Directors and other high-level USGS personnel.	<p>PERMANENT. Non-Digital. Transfer captioned photographic portrait prints and corresponding original negatives, or captioned original slides (plus a duplicate slide or duplicate negative for each item, if duplicates exist), along with corresponding indexing, to National Archives and Records Administration (NARA) in 5-year blocks when the most recent records are 5-years old. Transfer any related documentation and external finding aids (hard copy or electronic), as well as any additional information regarding each photograph, e.g., the name of the photographer or source, any copyright restrictions, position/job title of portrait subject, and date of photograph.</p> <p>Digital. Cutoff at the end of the fiscal year. Transfer to NARA in 3 year blocks one year after the end of the last year of the block (e.g., FY 2006-2008 block transfer to NARA at the end of FY 2009), along with any related documentation and external</p>	N1-57-93-3

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
	<p>finding aids in electronic form. Electronic transfers must be in accordance with NARA's Transfer Instructions for Permanent Electronic Records – Digital Photographic Records (http://www.archives.gov/records-mgmt/initiatives/digital-photo-records.html).</p>	
<p>1101-01b. For All 2002-and-Earlier Formal and Candid Portraits. Maintained at the USGS Photographic Library in Denver, Colorado, of USGS Directors and other high-level USGS personnel.</p>	<p>PERMANENT. Non-Digital. Transfer captioned prints, corresponding original negatives, and original captioned slides (plus a duplicate slide or duplicate negative for each color item, if duplicates exist), along with corresponding card indexes, to NARA by the end of the year 2010.</p> <p>Digital. Cutoff at the end of the fiscal year. Transfer to NARA in 3 year blocks one year after the end of the last year of the block (e.g., FY 2006-2008 block transfer to NARA at the end of FY 2009), along with any related documentation and external finding aids in electronic form. Electronic transfers must be in accordance with NARA's Transfer Instructions for Permanent Electronic Records – Digital Photographic Records (http://www.archives.gov/records-mgmt/initiatives/digital-photo-records.html).</p>	N1-57-93-3
<p>1101-01c. Other bureauwide formal and candid portraits of USGS Directors and high-level USGS personnel.</p>	<p>PERMANENT. Non-Digital. Transfer captioned photographic portrait prints and corresponding original negatives, or captioned original slides (plus a duplicate slide or duplicate negative for each item, if duplicates exist),</p>	N1-57-03-01, Item 1101-01c

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
	<p>along with corresponding indexing, to National Archives and Records Administration (NARA) in 5-year blocks when the most recent records are 5-years old. Transfer any related documentation and external finding aids (hard copy or electronic), as well as any additional information regarding each photograph, e.g., the name of the photographer or source, any copyright restrictions, position/job title of portrait subject, and date of photograph.</p> <p>Digital. Cutoff at the end of the fiscal year. Transfer to NARA in 3 year blocks one year after the end of the last year of the block (e.g., FY 2006-2008 block transfer to NARA at the end of FY 2009), along with any related documentation and external finding aids in electronic form. Electronic transfers must be in accordance with NARA's Transfer Instructions for Permanent Electronic Records – Digital Photographic Records (http://www.archives.gov/records-mgmt/initiatives/digital-photo-records.html).</p>	
<p>1101-02. Portrait Photographs of Other USGS Personnel. Portrait photographs of USGS personnel or office staff other than the high-ranking officials addressed in Item 1101-01. Format can include black and white and color negative photography or slides.</p>		
<p>1101-02a. For such portraits of lower-level USGS personnel maintained in the USGS Photographic Library in</p>	<p>PERMANENT. Non-Digital. Transfer captioned photographic portrait prints and corresponding</p>	<p>N1-57-93-3</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>Denver, Colorado, that are represented in photographic albums or notebooks also containing portraits of high-level officials.</p>	<p>original negatives, or captioned original slides (plus a duplicate slide or duplicate negative for each item, if duplicates exist), along with corresponding indexing, to National Archives and Records Administration (NARA) in 5-year blocks when the most recent records are 5-years old. Transfer any related documentation and external finding aids (hard copy or electronic), as well as any additional information regarding each photograph, e.g., the name of the photographer or source, any copyright restrictions, position/job title of portrait subject, and date of photograph.</p> <p>Digital. Cutoff at the end of the fiscal year. Transfer to NARA in 3 year blocks one year after the end of the last year of the block (e.g., FY 2006-2008 block transfer to NARA at the end of FY 2009), along with any related documentation and external finding aids in electronic form. Electronic transfers must be in accordance with NARA's Transfer Instructions for Permanent Electronic Records – Digital Photographic Records (http://www.archives.gov/records-mgmt/initiatives/digital-photo-records.html).</p>	
<p>1101-02b. For such portraits of lower-level USGS personnel, maintained in the USGS Photographic Library in Denver, Colorado, which are housed separately from the portraits of high-level officials.</p>	<p>Destroy when 5 years old, or when no longer needed for USGS use.</p>	<p>N1-57-03-01, Item 1101-02b</p>
<p>1101-02c. For such portraits of lower-</p>	<p>PERMANENT. Non-Digital.</p>	<p>N1-57-03-01, Item</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>level USGS personnel, maintained in locations other than the USGS Photographic Library in Denver, Colorado, that are represented in photographic albums or notebooks also containing portraits of high-level officials.</p>	<p>Transfer captioned photographic portrait prints and corresponding original negatives, or captioned original slides (plus a duplicate slide or duplicate negative for each item, if duplicates exist), along with corresponding indexing, to National Archives and Records Administration (NARA) in 5-year blocks when the most recent records are 5-years old. Transfer any related documentation and external finding aids (hard copy or electronic), as well as any additional information regarding each photograph, e.g., the name of the photographer or source, any copyright restrictions, position/job title of portrait subject, and date of photograph.</p> <p>Digital. Cutoff at the end of the fiscal year. Transfer to NARA in 3 year blocks one year after the end of the last year of the block (e.g., FY 2006-2008 block transfer to NARA at the end of FY 2009), along with any related documentation and external finding aids in electronic form. Electronic transfers must be in accordance with NARA's Transfer Instructions for Permanent Electronic Records – Digital Photographic Records (http://www.archives.gov/records-mgmt/initiatives/digital-photo-records.html).</p>	<p>1101-02c</p>
<p>1101-02d. For such portraits of lower-level USGS personnel, maintained in locations other than the USGS Photographic Library in Denver, Colorado, that are housed separately</p>	<p>Destroy when 5 years old, or when no longer needed for USGS use.</p>	<p>N1-57-03-01, Item 1101-02d</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
from the portraits of high-level officials.		
<p>1102. General Photography Records. Media can include black-and-white and color negative photography (negative and print files may be maintained in separate agency offices; in these cases, elements should be scheduled as distinct series); color transparency and slide photography; slide sets or filmstrips; and accompanying audio recordings or scripts.</p>		
<p>1102-01. Documentary and Research Photography - USGS Mission-Related Records.</p>		
<p>1102-01a. Photographs produced or collected for use in USGS publications, exhibitions, or other media productions; documentary photographs, generated or acquired by USGS, that were shot for fact finding purposes, research and development, or other studies; photographs that depict the mission of the USGS.</p> <p>NOTE: One master copy of all USGS photographs which appear in USGS publications will also be stored at the USGS's central collection point – USGS Central Region Library, Photographic Library, Mail Stop 914, Denver, Colorado 80225. Send each photograph, including a caption, original negative and corresponding print, and the name of the photographer. Photo size 5 x 7 is preferred, if possible.</p>	<p>PERMANENT. For such photographs maintained by the USGS Photographic Library in Denver, Colorado, see transfer instructions under 1102-01b, below.</p> <p>For such photographs maintained by the USGS Office of Communications in Reston, Virginia, and other USGS sites besides the Denver Photographic Library: Non-Digital. Transfer captioned photographic portrait prints and corresponding original negatives, or captioned original slides (plus a duplicate slide or duplicate negative for each item, if duplicates exist), along with corresponding indexing, to National Archives and Records Administration (NARA) in 5-year blocks when the most recent records are 5-years old. Transfer any related documentation and external finding aids (hard copy or electronic), as well as any</p>	<p>N1-57-03-01, Item 1102-01a</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
	<p>additional information regarding each photograph, e.g., the name of the photographer or source, any copyright restrictions, position/job title of portrait subject, and date of photograph.</p> <p>Digital. Cutoff at the end of the fiscal year. Transfer to NARA in 3 year blocks one year after the end of the last year of the block (e.g., FY 2006-2008 block transfer to NARA at the end of FY 2009), along with any related documentation and external finding aids in electronic form. Electronic transfers must be in accordance with NARA's Transfer Instructions for Permanent Electronic Records – Digital Photographic Records (http://www.archives.gov/records-mgmt/initiatives/digital-photo-records.html).</p>	
<p>1102-01b. Photographs Maintained by the USGS Photographic Library in Denver, Colorado. Photographic records document the geological, geomorphological, geophysical, hydrological, topographical, mineralogical, biological, and administrative activities of the USGS beginning in the mid-1860's up to the present and continuing. Records range from photomicrographs to glass plate negatives, and encompass published as well as unpublished items. Media include black and white prints and negatives (glass, nitrate, acetate, and polyester bases), color prints and negatives (acetate and polyester negative bases), and color/black and white slides and transparencies.</p>		
<p>1102-01b(1) For All Post 2002</p>	<p>PERMANENT. Non-Digital.</p>	<p>N1-57-93-3</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>Images.</p> <p>NOTE: Indexing generated in electronic database form must be transferred to NARA in a form compatible with 36 CFR 1228.270 when the corresponding images are transferred.</p>	<p>Transfer captioned photographic portrait prints and corresponding original negatives, or captioned original slides (plus a duplicate slide or duplicate negative for each item, if duplicates exist), along with corresponding indexing, to National Archives and Records Administration (NARA) in 5-year blocks when the most recent records are 5-years old. Transfer any related documentation and external finding aids (hard copy or electronic), as well as any additional information regarding each photograph, e.g., the name of the photographer or source, any copyright restrictions, position/job title of portrait subject, and date of photograph.</p> <p>Digital. Cutoff at the end of the fiscal year. Transfer to NARA in 3 year blocks one year after the end of the last year of the block (e.g., FY 2006-2008 block transfer to NARA at the end of FY 2009), along with any related documentation and external finding aids in electronic form. Electronic transfers must be in accordance with NARA's Transfer Instructions for Permanent Electronic Records – Digital Photographic Records (http://www.archives.gov/records-mgmt/initiatives/digital-photo-records.html).</p>	
<p>1102-01b(2) All 1994-2002 Images (and earlier images processed by the Library after 1993).</p> <p>NOTE: Indexing for this segment of</p>	<p>PERMANENT. Transfer original negatives, corresponding captioned prints or original captioned slides (plus a duplicate slide or duplicate negative for</p>	<p>N1-57-93-3</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
the Denver holdings exists only in electronic database form, and accordingly, must be transferred to NARA in a form compatible with 36 CFR 1228.270 when the corresponding images are transferred.	each color item, if duplicates exist), along with corresponding indexing, directly to NARA by the end of the year 2012.	
1102-01b(3) All 1955-1993 Images Processed by the Library before 1994.	PERMANENT. Transfer captioned prints, corresponding original negatives, and original captioned slides (plus a duplicate slide or duplicate negative for each color item, if duplicates exist), along with corresponding card indexes, to NARA by the end of the year 2010.	N1-57-93-3
1102-01b(4) All Pre-1955 Images. NOTE: Includes modern prints of pre-USGS (pre-1879) views from the Hayden, Wheeler, and King Surveys and the Darien Expedition. Albumen prints from these early projects were transferred to NARA in 1997, in accordance with Item 1900-81a of the former USGS schedule, N1-57-93-3).	PERMANENT. Transfer captioned prints, corresponding original negatives, along with corresponding pre-1955 index card segment, to NARA by the end of the year 2005.	N1-57-93-3
1102-02. Photography - USGS Non-Mission Related Records.		
1102-02a. Photographs of routine award ceremonies, retirement ceremonies, social events, and other activities not related to the mission of the USGS.	Destroy when 1 year old.	N1-57-03-01, Item 1102-02a and GRS 21, Item 1
1102-02b. Personnel Identification or Passport Photographs.	Destroy when 5 years old or when no longer needed.	N1-57-03-01, Item 1102-02b and GRS 21, Item 2
1102-02c. Internal personnel and administrative training filmstrips and slides of programs that do not reflect the mission of the USGS.	Destroy 1 year after completion of training program.	N1-57-03-01, Item 1102-02c and GRS 21, Item 3
1102-02d. Miscellaneous Photographs of General Interest. Not related to a specific project scheduled in the mission specific area.	Destroy when no longer needed.	N1-57-03-01, Item 1102-02d

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>1103. Motion Picture Records. Agency sponsored or produced motion picture films (e.g., public information films) whether for the public or internal use: (1) the original negative or color original plus separate sound track, (2) an intermediate master positive or duplicate negative plus optical sound track, and (3) a sound projection print or a video recording. For acquired films (two projection prints or one projection print and a video recording); unedited footage (the original negative or color original, work print, and an intermediate master positive or duplicate negative if one exists, appropriately arranged, labeled, and described).</p>		
<p>1103-01. Motion Pictures – USGS-Sponsored and Mission-Related Records.</p>		
<p>1103-01a. USGS-sponsored informational, educational, and recruiting films intended for public distribution; USGS-sponsored television news releases and information reports; USGS-sponsored television public service or spot announcements; USGS-sponsored training films that explain USGS's functions or activities intended for internal or external distribution; documentary footage shot for research and development, fact finding, or other studies; and films produced under contract or grant that are submitted to the USGS. The motion picture films are tracked through a media asset management database and maintained in the USGS Audiovisual Archive, attention Don Becker.</p>	<p>PERMANENT. The USGS Audiovisual Archive will transfer their entire collection of original negative or color original plus separate sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print or a video recording along with any related documentation and finding aids directly to NARA by the end of FY 2013.</p>	<p>N1-57-03-01, Item 1103-01a</p>
<p>1103-01b. Routine Scientific, Medical, or Engineering Footage.</p>	<p>Destroy when 2 years old.</p>	<p>N1-57-03-01, Item 1103-01b and GRS 21, Item 12</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>1103-01c. Unedited Stock Footage. Created during the course of a USGS-sponsored production that shows unstaged and unrehearsed events of historical interest. Master copy maintained at the USGS Audiovisual Archive.</p>	<p>PERMANENT. The USGS Audiovisual Archive will transfer their entire collection of original negative or color original, work print, and an intermediate master positive or duplicate negative, if one exists, appropriately arranged, labeled, and described along with any related documentation and finding aids directly to NARA by the end of FY 2013.</p>	<p>N1-57-03-01, Item 1103-01c</p>
<p>1103-01d. Acquired Motion Pictures. Films acquired from outside sources that document or are used to carry out USGS programs (other than those acquired for personnel and management training).</p>	<p>PERMANENT. The USGS Audiovisual Archive will transfer their entire collection of acquired motion pictures consisting of two projection prints or one projection print and a video recording along with any related documentation and finding aids directly to NARA by the end of FY 2013.</p>	<p>N1-57-03-01, Item 1103-01d</p>
<p>1103-02. Motion Pictures – Non-Mission Related Records.</p>		
<p>1103-02a. Training Films. Agency sponsored films or films acquired from outside sources for bureau personnel and management training.</p>	<p>Destroy 1 year after completion of training program.</p>	<p>N1-57-03-01, Item 1103-02a and GRS 21, Item 9</p>
<p>1103-02b. Routine Surveillance Footage.</p>	<p>Destroy when 6 months old.</p>	<p>N1-57-03-01, Item 1103-02b</p>
<p>1104. Video Recordings and Other Media Records. Agency sponsored videos (original and duplicate copy); acquired videos (original and duplicate copy plus sound track); and unedited footage (the original footage including b-roll plus sound track, if it exists) and other media such as optical (CD/DVDs) and digital media.</p>		
<p>1104-01. Video Recordings and Other Media – USGS-Sponsored and Mission-Related Records.</p>		
<p>1104-01a. USGS-sponsored informational, educational, and</p>		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>recruiting videos intended for public distribution; USGS-sponsored television news releases and information reports; USGS-sponsored television public service or spot announcements; USGS-sponsored training videos that explain USGS's functions or activities intended for internal or external distribution; documentary footage shot for research and development, fact finding, or other studies; and videos or other media products produced under contract or grant that are submitted to the USGS. All items are tracked through a media asset management database and maintained in the USGS Audiovisual Archive, attention Don Becker.</p>		
<p>1104-01a(1). For all ¾" U-matic and ¾" U-matic SP videotapes.</p>	<p>PERMANENT. The USGS Audiovisual Archive will transfer all originals or best copy available from their collection along with any related documentation and finding aids directly to NARA by the end of FY 2010.</p>	<p>New Item</p>
<p>1104-01a(2). For all 1" Type C videotapes – Open Reel.</p>	<p>PERMANENT. The USGS Audiovisual Archive will transfer all originals or best copy available from their collection along with any related documentation and finding aids directly to NARA by the end of FY 2011.</p>	<p>New Item</p>
<p>1104-01a(3). For all VHS, S-VHS, 8mm, and Hi-8mm videotapes in NTSC, PAL, or SECAM.</p>	<p>PERMANENT. The USGS Audiovisual Archive will transfer all originals or best copy available from their collection along with any related documentation and finding aids directly to NARA by the end of FY 2012.</p>	<p>New Item</p>
<p>1104-01a(4.) For all Betacam, Betacam SP, Betacam SX, DVCAM, and MII videotapes in NTSC, PAL, or SECAM.</p>	<p>PERMANENT. The USGS Audiovisual Archive will transfer all originals or best copy available from their collection along with any related documentation and</p>	<p>New Item</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
	finding aids directly to NARA by the end of FY 2013.	
1104-01a(5). For CD/DVD optical media.	PERMANENT. The USGS Audiovisual Archive will transfer all originals or best copy available from their collection along with any related documentation and finding aids directly to NARA in accordance with NARA regulations cited in 36 CFR 1228 by the end of FY 2012.	New Item
1104-01a(6). For videos on any current digital or future medium.	PERMANENT. Beginning in FY 2010, transfer electronic data on any format, with related documentation and external finding aids, as applicable, to NARA, as specified in 36 CFR 1228.270 or standards applicable at the time, every 2 years.	New Item
1104-01b. Unedited Stock Footage. Created during the course of a USGS-sponsored production that shows unstaged and unrehearsed events of historical interest or scenery or action that is retained for future use in other productions.	PERMANENT. The USGS Audiovisual Archive will transfer their entire collection of original or best copy available video tape recordings, appropriately arranged, labeled, and described to NARA by the end of FY 2013.	N1-57-03-01, Item 1104-01b
1104-01c. Routine Scientific, Medical, or Engineering Recordings.	Destroy when 2 years old.	N1-57-03-01, Item 1104-01c and GRS 21, Item 19
1104-01d. Rehearsal or Practice Tapes.	Rewind so that tapes may be reused or destroy them immediately.	N1-57-03-01, Item 1104-01d and GRS 21, Item 16
1104-01e. Recordings that document routine meetings and award presentations.	Destroy when 2 years old.	N1-57-03-01, Item 1104-01e and GRS 21, Item 20
1104-01f. Duplicate prints and pre-print elements in excess of those elements required for preservation by 36 CFR 1228.184.	Destroy when no longer needed.	N1-57-03-01, Item 1104-01f
1104-02. Video Recordings and Other Media – USGS-Sponsored and Non-Mission Related Records.		
1104-02a. Programs acquired from outside sources for training.	Destroy 1 year after completion of training program.	N1-57-03-01, Item 1104-02a and GRS

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
		21, Item 14
1104-02b. Internal personnel and administrative training programs that do not reflect the mission of the USGS. (These include such things as role-play sessions and management and supervisory instruction.)	Destroy 1 year after completion of training program.	N1-57-03-01, Item 1104-02b and GRS 21, Item 17
1104-02c. Surveillance recordings involved in any administrative or law enforcement actions. Original surveillance recordings that provide evidence in the ongoing investigation such as theft or other illegal activities are given to appropriate law enforcement agencies, i.e., U.S. Attorney or police, and become part of the records of that investigation. For administrative actions, the USGS Office of Personnel or others as authorized are provided only a viewing of the tape with the tape being retained by security.	Destroy 6 months old after an administrative action has been completed.	N1-57-03-01, Item 1104-02c(1)
1104-02d. Routine Surveillance Recordings.	Reuse or destroy when 1 month old.	N1-57-03-01, Item 1104-02c(2)
1104-02e. Duplicate prints and pre-print elements in excess of those elements required for preservation by 36 CFR 1228.184.	Destroy when no longer needed.	N1-57-03-01, Item 1104-02d
1105. Audio (Sound) Recordings. Optical or magnetic audio tape recordings, either analog or digital (reel-to-reel, cassette, or CD-R): the original or earliest generation of each recording, and a duplicate copy.		
1105-01. Audio Recordings – USGS-Sponsored and Mission-Related Records.		
1105-01a. Official USGS Audio Recordings. Audio recordings of USGS activities including speeches, press conferences, broadcast spots, and special emergency management feeds to broadcasters. Arrange	PERMANENT. Transfer original or best copy available or earliest generation and a duplicate copy directly to NARA in 5-year blocks when 5 years old.	N1-57-03-01, Item 1105-01a

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
chronologically.		
1105-01b. Daily or spot news recordings available to local radio stations on a call-in basis.	Destroy when 6 months old.	N1-57-03-01, Item 1105-01b and GRS 21, Item 26
1105-01c. Recordings of meetings made exclusively for note taking or transcription; dictation belts or tapes; and premix sound elements created during the course of a motion picture, television, or radio production.	Destroy immediately after use.	N1-57-03-01, Item 1105-01c and GRS 21, Items 22, 23, and 24
1105-01d. Library Sound Recordings (e.g., effects, music).	Destroy when no longer needed.	N1-57-03-01, Item 1105-01f
1106. Miscellaneous Records.		
1106-01. Related Documentation. Includes, but not limited to, production files or similar files that document origin, development, acquisition, use, and ownership of temporary audiovisual records; scripts; contracts; transcripts; releases; and finding aids for identification, retrieval, or use of temporary audiovisual records. May also include: indexes, catalogs, shelf lists, log books, caption sheets, shotlists, and continuities and may be in text, card, microform, or machine-readable format.	Dispose of according to instructions covering the related audiovisual records.	N1-57-03-01, Item 1106-01a and GRS 21, Items 28 and 29
1106-02. Audiovisual Administrative General Files. Correspondence of a general nature pertaining to the administration and oversight of audiovisual materials or related items.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.	New Item

**U.S. Geological Survey
Chapter 1100. Audiovisual Records**

Cross Index

ITEM NUMBER	SUBJECT	SUPERSEDED CITATION
1101	Official Portraits of USGS Directors and Other High-Ranking USGS Officials	
1101-01	Official Portrait Photographs (Estimated volume – less than 2 cubic feet; estimated volume created per year – less than 1 cubic foot/less than 1 gigabyte)	
1101-01a	For All Post-2002 Formal and Candid Portraits	N1-57-93-3
1101-01b	For all 2002 and Earlier Formal and Candid Portraits	N1-57-93-3
1101-01c	Other bureauwide formal and candid portraits of USGS Directors and high-level USGS personnel	N1-57-03-01, Item 1101-01c
1101-02	Portrait Photographs of Other USGS Personnel	
1101-02a	For such portraits of lower-level USGS personnel maintained in the USGS Photographic Library in Denver, Colorado, that are represented in photographic albums or notebooks also containing portraits of high-level officials.	N1-57-93-3
1101-02b	For such portraits of lower-level USGS personnel maintained in the USGS Photographic Library in Denver, Colorado, which are housed separately from the portraits of high-level officials.	N1-57-03-01, Item 1101-02b
1101-02c	For such portraits of lower-level USGS personnel, maintained in locations other than the USGS Photographic Library in Denver, Colorado, that are represented in photographic albums or notebooks also	N1-57-03-01, Item 1101-02c

containing portraits of high-level officials.

1101-02d	For such portraits of lower-level USGS personnel, maintained in locations other than the USGS Photographic Library in Denver, Colorado, that are housed separately from the portraits of high-level officials.	N1-57-03-01, Item 1101-02d
1102	General Photography Records	
1102-01	Documentary and Research Photography – USGS Mission-Related Records (Estimated volume – 640 cubic feet; estimated volume created per year – 10 cubic feet)	
1102-01a	Photographs produced or collected for use in USGS publications, exhibitions, or other media productions; documentary photographs, generated or acquired by USGS, that were shot for fact finding purposes, research and development, or other studies; photographs that depict the mission of the USGS.	N1-57-03-01, Item 1102-01a
1102-01b	Photographs Maintained by the USGS Photographic Library in Denver, Colorado	
1102-01b(1)	For All Post-2002 Images	N1-57-93-3
1102-01b(2)	All 1994-2002 Images (and earlier images processed by the Library after 1993).	N1-57-93-3
1102-01b(3)	All 1955-1993 Images Processed by the Library before 1994	N1-57-93-3
1102-01b(4)	All Pre-1955 Images	N1-57-93-3
1102-02	Photography – USGS Non-Mission Related Records	
1102-02a	Photographs of routine award ceremonies, retirement ceremonies, social events, and other activities not related to the mission of the USGS	N1-57-03-01, Item 1102-02a and GRS 21, Item 1
1102-02b	Personnel Identification or Passport Photographs	N1-57-03-01, Item 1102-02b and GRS 21, Item 2

1102-02c	Internal personnel and administrative training filmstrips and slides of programs that do not reflect the mission of the USGS	N1-57-03-01, Item 1102-02c and GRS 21, Item 3
1102-02d	Miscellaneous Photographs of General Interest	N1-57-03-01, Item 1102-02d
1103	Motion Picture Records	
1103-01	Motion Pictures – USGS Sponsored and Mission-Related Records (Estimated volume – 297 cubic feet; estimated volume created per year – 21 cubic feet – includes all items in the Audiovisual Archive)	
1103-01a	USGS-sponsored informational, educational, recruiting films and recruiting films intended for public distribution; USGS-sponsored television news releases and information reports; USGS-sponsored television public service or spot announcements; USGS-sponsored training films that explain USGS's functions or activities intended for internal or external distribution; documentary footage shot for research and development, fact finding, or other studies; and films produced under contract or grant that are submitted to the USGS. The motion picture films are tracked through a media asset management database and maintained in the USGS Audiovisual Archive, attention Don Becker.	N1-57-03-01, Item 1103-01a
1103-01b	Routine Scientific, Medical, or Engineering Footage	N1-57-03-01, Item 1103-01b and GRS 21, Item 12
1103-01c	Unedited Stock Footage	N1-57-03-01, Item 1103-01c
1103-01d	Acquired Motion Pictures	N1-57-03-01, Item 1103-01d
1103-02	Motion Pictures – Non-Mission Related Records	
1103-02a	Training Films	N1-57-03-01, Item 1103-02a and GRS 21, Item 9
1103-02b	Routine Surveillance Footage	N1-57-03-01, Item 1103-02b
1104	Video Recordings and Other Media Records	
1104-01	Video Recordings and Other Media – USGS-Sponsored and Mission-Related Records	

1104-01a	<p>USGS-sponsored informational, educational, recruiting videos intended for public distribution; USGS-sponsored television news releases and information reports; USGS-sponsored television public service or spot announcements; USGS-sponsored training videos that explain USGS's functions or activities intended for internal or external distribution; documentary footage shot for research and development, fact finding, or other studies; and videos or other media products produced under contract or grant that are submitted to the USGS. All items are tracked through a media asset management database and maintained in the USGS Audiovisual Archive, attention Don Becker.</p>	
1104-01a(1)	For all ¾" U-matic and ¾" U-matic SP videotapes	New Item
1104-01a(2)	For all 1" Type C videotapes – Open Reel	New Item
1104-01a(3)	For all VHS, S-VHS, 8mm, and Hi-8mm videotapes in NTSC, PAL, or SECAM	New Item
1104-01a(4)	For all Betacam, Betacam SP, Betacam SX, DVCAM, and MII videotapes in NTSC, PAL, or SECAM	New Item
1104-01a(5)	For all CD/DVD optical media	New Item
1104-01a(6)	For videos on any current digital or future medium	New Item
1104-01b	Unedited Stock Footage	N1-57-03-01, Item 1104-01b
1104-01c	Routine Scientific, Medical, or Engineering Recordings	N1-57-03-01, Item 1104-01c and GRS 21, Item 19
1104-01d	Rehearsal or Practice Tapes	N1-57-03-01, Item 1104-01d and GRS 21, Item 16
1104-01e	Recordings that Document Routine Meetings and Award Presentations	N1-57-03-01, Item 1104-01e and GRS 21, Item 20
1104-01f	Duplicate prints and pre-print elements in excess of those elements required for preservation by 36 CFR 1228.184	N1-57-03-01, Item 1104-01f
1104-02	Video Recordings and Other Media –	

USGS-Sponsored and Non-Mission
Related Records

1104-02a	Programs acquired from outside sources for training	N1-57-03-01, Item 1104-02a and GRS 21, Item 14
1104-02b	Internal personnel and administrative training programs that do not reflect the mission of the USGS	N1-57-03-01, Item 1104-02b and GRS 21, Item 17
1104-02c	Surveillance recordings involved in any administrative or law enforcement actions.	N1-57-03-01, Item 1104-02c(1)
1104-02d	Routine Surveillance Recordings	N1-57-03-01, Item 1104-02c(2)
1104-02e	Duplicate prints and pre-print elements in excess of those elements required for preservation by 36 CFR 1228.184.	N1-57-03-01, Item 1104-02d
1105	Audio (Sound) Recordings	
1105-01	Audio Recordings – USGS-Sponsored and Mission-Related Records (Estimated volume – 6 cubic feet; estimated volume created per year – less than 1 cubic foot)	
1105-01a	Official USGS Audio Recordings	N1-57-03-01, Item 1105-01a
1105-01b	Daily or spot news recordings available to local radio stations on a call-in basis	N1-57-03-01, Item 1105-01b and GRS 21, Item 26
1105-01c	Recordings of meetings made exclusively for note taking or transcription; dictation belts or tapes; and premix sound elements created during the course of a motion picture, television, or radio production	N1-57-03-01, Item 1105-01c and GRS 21, Items 22, 23, and 24 (Combined 1105-01c, 01d, and 01e)
1105-01d	Library Sound Recordings	N1-57-03-01, Item 1105-01f
1106	Miscellaneous Records	
1106-01	Related Documentation	N1-57-03-01, Item 1106-01a and GRS 21, Items 28 and 29 (Combined 1106-01a and 01b)
1106-02	Audiovisual Administrative General Files	New Item

Deleted Items

- 1107 – Electronic Mail and Word Processing System Copies – Entire section including 1107-01, 1107-01a, and 1107-01b

CHAPTER 1200. DIGITAL AND GEOSPATIAL DATA, CARTOGRAPHIC, AND ARCHITECTURAL DRAWINGS

Many of these records have continuing historical value after they have served their original USGS purpose.

Chapter 1200 Topics. This section provides for the disposition of the following:

- | | |
|-------|-------------------------|
| 1201. | Digital Geospatial Data |
| 1202. | Cartographic Records |
| 1203. | Architectural Drawings |
| 1204. | Miscellaneous Records |

1201. Digital Geospatial Data includes the following records:

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|---------|---|
| 1201-01 | Geospatial Data Sets – Unaltered or minimally altered data layers, data layers received from other Federal, State, and local agencies and commercial sources, and data layers unique to USGS. |
|---------|---|

1202. Cartographic Records include the following records:

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| 1202-01 | Printed Maps – One copy of the original map to be sent to NARA. Refer to the Geography Discipline and the Geospatial Information Office Mission-Specific Records Disposition Schedules for more detailed records series' in the cartographic/mapping area. |
| 1202-02 | Cartographic Records Prepared During Intermediate Stages of Publications – Scribed plastic sheets, color separation sheets, composites prepared as a step in making color separation sheets, photographic negatives, and other similar items whose information content is duplicated by final published map. |

1203. Architectural Drawings include the following records:

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|---------|--|
| 1203-01 | Architectural Drawings of Temporary Structures and Buildings or of Buildings not Critical to the Mission of USGS. |
| 1203-02 | Contract Negotiation Drawings – Drawings prepared during contract negotiations. |
| 1203-03 | Space Assignment Plans – Outline floor plans indicating occupancy of a building. |
| 1203-04 | Architectural Models – Models prepared for illustrative or presentation purposes. |
| 1203-05 | Engineering Drawings of Routine Minor Parts – Drawings of such objects as fasteners, nuts, bolts, and other similar objects. |
| 1203-06 | Drawings Reflecting Minor Modifications – Repetitive engineer drawings showing minor modifications. |

1204. Miscellaneous records include the following records:

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|---------|--|
| 1204-01 | Paint Plans and Samples – For painting all areas of buildings. |
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What records in this chapter are important or considered permanent USGS records?

- Geospatial data.
 - Printed Maps.
 - Architectural models may be offered for donation to museums or similar organizations.
-

What records in this section are considered temporary USGS records?

- Cartographic records prepared during intermediate stages of publication.
 - Architectural drawings.
 - Contract negotiation drawings.
 - Space assignment plans.
 - Engineering drawings of routine minor parts or drawings that reflect minor modifications.
 - Paint plans and samples.
-

Questions?

Contact the USGS Records Manager or your discipline or regional Records Liaison Officer - <http://internal.usgs.gov/gio/irm/fmassis2.html>

**CHAPTER 1200. DIGITAL GEOSPATIAL DATA, CARTOGRAPHIC,
AND ARCHITECTURAL DRAWINGS**

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
1201. Digital Geospatial Data. Digital information that identifies the geographic location and characteristics of natural or constructed features and boundaries on the Earth. This information may be derived from, among other things, remote sensing, mapping, and surveying technologies.		
1201-01. Geospatial Data Sets.		
1201-01a. Unaltered or Minimally Altered Data Layers. Received from other Federal, State, or local agencies and commercial sources (i.e., no significant additions to data content of unique USGS data or not maintained in support of significant ongoing projects or significant specific decisions).	Delete when no longer needed for current business.	N1-57-03-01, Item 1201-01a
1201-01b. Data layers received from other Federal, State, and local agencies and commercial sources with significant additions to data content of unique USGS data (i.e., significantly altered data). These layers are maintained in support of significant ongoing projects or significant specific decisions. These significant projects or decisions should be clearly in support of the basic mission of the USGS.	PERMANENT. Cutoff at the end of the fiscal year in which the layer is created or significantly altered by the USGS. Transfer copy of data to NARA (in the case of commercial data, to the extent permitted by license agreements) at the end of the fiscal year after project is completed or 5 years after origination, whichever is sooner. Transfer in accordance with 36 CFR 1228.270, along with appropriate documentation (see Item 1201-01e below).	N1-57-03-01, Item 1201-01b
1201-01c. Data layers uniquely created by USGS and maintained in support of significant ongoing projects or significant specific decisions. These significant specific decisions should be clearly in support of the basic mission of the USGS.	PERMANENT. Cutoff at the end of the fiscal year in which the layer is created or significantly altered by the USGS. Transfer copy of data to NARA 5 years after origination and transfer in	N1-57-03-01, Item 1201-01c

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
	accordance with 36 CFR 1228.270, along with appropriate documentation (see Item 1201-01e below).	
1201-01d. All other data layers uniquely created by USGS (i.e., layers not covered by Items 1201-01b and 01c and not in support of significant ongoing projects or decisions).	Delete when no longer needed for current business.	N1-57-03-01, Item 1201-01d
1201-01e. Documentation for Items 1201-01b and 01c. Documentation must be in the form of a metadata file compliant with the Content Standard for Digital Spatial Metadata Version 2, (CSDGM Version 2 – FGDC-STD-001-1998) maintained by the Federal Geographic Data Committee (FGDC). CSDGM includes copies of instructions on interpretation of source data, application of data standards, data entry instructions, and similar documentation (regardless of media) necessary for servicing and interpreting the data layer.	PERMANENT. Cutoff at the end of the fiscal year in which the layer is created or significantly altered by the USGS. Transfer copy of documentation, regardless of media, to NARA at the time the associated data layer is transferred. Documentation must be in the form of FGDC-compliant metadata and should be transferred in accordance with 36 CFR 1228.270.	N1-57-03-01, Item 1201-01e
1202. Cartographic Records		
1202-01. Printed Maps. NOTE: Refer to the Geography Discipline and the Geospatial Information Office Mission-Specific Records Disposition Schedules for more detailed records series' in the cartographic/mapping area.	PERMANENT. The originating discipline or region will forward one copy of the map to the Cartographic and Architectural Branch, National Archives and Records Administration, 8601 Adelphi Road, College Park, Maryland 20740-6001.	RCS/Item 204-02 and N1-57-94-1, item 204-02
1202-02. Cartographic Records Prepared During Intermediate Stages of Publication. Scribed plastic sheets, color separation sheets, composites prepared as a step in the making of color separation sheets, photographic negatives, glass plates negatives, enlargement or reductions, color pulls, proof copies subject to final revision, "correction file" maps annotated to show	Destroy when no longer needed for revision.	N1-57-03-01, Item 1202-02 and GRS 17, Item 1

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
corrections to be incorporated into the next edition of the published maps, electronic forms of draft graphical files, and similar items whose information content is duplicated by final published map.		
1203. Architectural Drawings		
1203-01. Architectural Drawings of Temporary Structures and Buildings or of Buildings not Critical to the Mission of the USGS.		
1203-01a. Drawings of structures and buildings such as telephone and electric lines, storage sheds, parking lots, and comfort stations.	Destroy when superseded or after the structure or object has been retired from service.	N1-57-03-01, Item 1204-01a and GRS 17, Item 3
1203-01b. Drawings of Electrical, Plumbing, Heating, or Air Conditioning Systems.	Destroy when superseded or after the structure or object has been retired from service.	RCS/Item 311-01 and GRS 17, Item 4
1203-02. Contract Negotiation Drawings. Drawings prepared during contract negotiation for buildings or objects lacking historical, architectural, or technological significance; drawings related to electrical, plumbing, heating, or air conditioning projects; or drawing superseded by final working/as-built drawings.		
1203-02a. Drawings from facilities that produce or store hazardous materials.	Cutoff when no longer needed for administrative purposes. Destroy 15 years after cutoff.	N1-57-03-01, Item 1204-02a
1203-02b. All other facilities.	Destroy when superseded by as-built drawings.	N1-57-03-01, Item 1204-02b and GRS 17, Item 5
1203-03. Space Assignment Plans. Outline floor plans indicating occupancy of a building.	Destroy when superseded or after the structure or object has been retired from service.	RCS/Item 311-02 and GRS 17, Item 6
1203-04. Architectural Models. Models prepared for illustrative or presentation purposes.	Destroy when no longer needed for administrative purposes or when 10 years old, whichever is sooner.	N1-57-03-01, Item 1204-04
NOTE: These models may be offered for donation to museums or similar		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
organizations.		
1203-05. Engineering Drawings of Routine Minor Parts. Drawings of such objects as fasteners, nuts, bolts, wires, screws, nails, pipefittings, brackets, struts, plates, and beams, if maintained separately; or they can be segregated to a larger file.	Destroy when superseded or after structure or object has been retired from service.	N1-57-03-01, Item 1204-05 and GRS 17, Item 8
1203-06. Drawings Reflecting Minor Modifications. Repetitive engineering drawings showing minor modifications made during research and development and superseded by final drawings, if filed separately; or they are readily segregated from a larger file.	Destroy when superseded or after structure or object has been retired from service.	N1-57-03-01, Item 1204-06 and GRS 17, Item 9
1204. Miscellaneous Records		
1204-01. Paint Plans and Samples. Paint plans and samples for painting all areas of building lacking historical, architectural, or technological significance; and plans and samples for painting appliances, elevators, and other mechanical parts of buildings. NOTE: Paint plans and samples for the interior and exterior walls of buildings significant for historical, architectural, or technological reasons are not disposable under this item and must be scheduled by submitting an SF 115 to the NARA.	Destroy when superseded or after the structure or object has been retired from service.	RCS/Item 311-03 and GRS 17, Item 10

U.S. Geological Survey
Chapter 1200. Digital and Geospatial Data, Cartographic, and Architectural
Drawings

Cross Index

ITEM NUMBER	SUBJECT	SUPERSEDED CITATION
1201	Digital Geospatial Data	
1201-01	Geospatial Data Sets	
1201-01a	Unaltered or Minimally Altered Data Layers	N1-57-03-01, Item 1201-01a
1201-01b	Data Layers received from other Federal, State, and local agencies and commercial sources with significant additions to data content of unique USGS data (Estimated volume = less than 1 cubic foot per year)	N1-57-03-01, Item 1201-01b
1201-01c	Data layers uniquely created by USGS and maintained in support of significant ongoing projects or significant specific decisions (Estimated volume = less than 1 cubic foot per year)	N1-57-03-01, Item 1201-01c
1201-01d	All other data layers uniquely created by USGS	N1-57-03-01, Item 1201-01d
1201-01e	Documentation for Items 1201-01b and 01c (Estimated volume = less than 1 cubic foot per year)	N1-57-03-01, Item 1201-01e
1202	Cartographic Records	
1202-01	Printed Maps (Estimated volume = less than 1 cubic foot per year)	
1202-02	Cartographic Records Prepared during Intermediate Stages of Publication	N1-57-03-01, Item 1202-02 and GRS 17, Item 1

1202-03	Architectural Drawings	
1203-01	Architectural Drawings of Temporary Structures and buildings or of Buildings not Critical to the Mission of the USGS	
1203-01a	Drawings of structures and buildings such as telephone and electric lines, storage sheds, parking lots, and comfort stations	N1-57-03-01, Item 1204-01a and GRS 17, Item 3
1203-01b	Drawings of Electrical, Plumbing, Heating, or Air Conditioning Systems	RCS/Item 311-01 and GRS 17, Item 4
1203-02	Contract Negotiation Drawings	
1203-02a	Drawings from facilities that produce or store hazardous materials	N1-57-03-01, Item 1204-02a
1203-02b	All other facilities	N1-57-03-01, Item 1204-02b and GRS 17, Item 5
1203-03	Space Assignment Plans	RCS/Item 311-02 and GRS 17, Item 6
1203-04	Architectural Models	N1-57-03-01, Item 1204-04
1203-05	Engineering Drawings of Routine Minor Parts	N1-57-03-01, Item 1204-05 and GRS 17, Item 8
1203-06	Drawings Reflecting Minor Modifications	N1-57-03-01, Item 1204-06 and GRS 17, Item 9
1204	Miscellaneous Records	
1204-01	Paint Plans and Samples	RCS/Item 311-03 and GRS 17, Item 10
1204-02	Asbestos Records	New Item

Deleted Items

- 1203 and 1203-01 – Remote Sensing Records
- 1205 – Electronic Mail and Word Processing System Copies – Entire section including 1205-01, 1205-01a, and 1205-01b

CHAPTER 1300. PUBLISHING RECORDS

Records that relate to the management and administration of the USGS publishing process for information products.

Chapter 1300 Topics. This section provides for the disposition of the following:

- 1301. USGS Information Products
- 1302. Information Products Research and Management Files
- 1303. Miscellaneous Publishing Records
- 1304. Information Product Data System (IPDS)
- 1305. Electronic Publications Database System (currently called the Publications Warehouse)

1301. USGS Information Products include the following records:

- 1301-01 USGS Publications Series – Record copies of each printed or electronic USGS information product.
- 1301-02 All Other Copies – Duplicate copies of USGS information products.
- 1301-03 Review and Approval Records and Copyright Permission Records – Records supporting the review and approval of the USGS information products, including information products and articles published by outside sources.
- 1301-04 Working Papers, Manuscripts, and Background Materials – Records supporting the USGS information products.

1302. Information Products Research and Management Files include the following records:

- 1302-01 Research Records Supporting Information Products – Consists of research records that support the validity of the scientific data or information in the information product and are not already covered in any of the USGS mission-specific records schedules
- 1302-02 Information Product Management Policies, Procedures, Directives, Instructions and Reports – Documents and miscellaneous reports pertinent to future and continuing actions for USGS information products management and activities.
- 1302-03 Information Product Customer Mailing Lists – Correspondence and other records relating to customer mailing lists.
- 1302-04 Information Product Indexes – Bibliographies and indexes of USGS information products.

1303. Miscellaneous Publishing Records include the following records:

- 1303-01 Internal USGS Information Products, Newsletters, and Announcements – Records circulated or distributed internally to USGS staff for informational purposes.
- 1303-02 Electronic Files, Artwork, Camera-Ready Originals, and Related Negatives (such as Line and Half-tone Negatives and Color Separates) – Materials used to publish (print or electronic) the final product.

- 1303-03 Printing Project Files – Print jobs or project records containing all papers and data pertaining to the planning and execution of printing, binding, duplicating, financing, and distributing.
- 1303-04 Miscellaneous Information Products Management Files – Documents, general in nature, which cannot be filed elsewhere in this chapter.

1304. Information Product Data System (IPDS) Records include the following records:

- 1304-01 Inputs – Information product development metadata, supporting documents and product components.
- 1304-02 Master File – Information product development metadata and review and approval records.
- 1304-03 Outputs – MODS metadata, emails
- 1304-04 System Documentation – Documentation on the system
- 1304-05 Backup Tapes – Backup information

1305. Electronic Publications Database System (the Publications Warehouse) Records include the following records:

- 1305-01 Inputs – Bibliographic citations.
- 1305-02 Master File – Bibliographic data (including persistent URLs or equivalent) about the published USGS information products.
- 1305-03 Outputs – Citation information output based on pre-defined or user-specified queries.
- 1305-04 System Documentation – Documentation on the system.
- 1305-05 System Backup – Backup information.
- 1305-06 Working Papers and Background Materials – Records for verifying citations and materials on the database redesign or data migration.

What records in this section are important or considered permanent USGS records?

- Official USGS information products.
- Master files and system documentation from the Bureau's electronic publication database system (Publications Warehouse) (including the persistent URL, digital object identifier, or equivalent).
- Master files and system documentation from the Bureau's electronic publication development and tracking database system (IPDS).

One copy of each printed or electronic USGS information product and the master files and documentation (in a neutral format) from the Bureau's electronic publication development and tracking database system (IPDS) and the USGS electronic publication database system (currently called the Publications Warehouse) will be sent to the USGS/GIO, Information Delivery, Box 25286, Denver Federal Center, MS 306, Denver, Colorado 80225 (Attn: NARA Archive) for forwarding to the National Archives and Records Administration (NARA) as the official USGS records.

NOTE: For online products send the persistent URL, digital object identifier, or equivalent and ensure that the records meet NARA regulations in effect as cited in 36 CFR 1228.

What records in this section are considered temporary USGS records?

- Duplicate copies of USGS information products.
- Review and approval records and copyright permission records.
- Working papers, manuscripts, and background materials.
- Research records supporting information products.
- Information products management policies, procedures, and reports.
- Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions in the publishing area.
- Information products customer mailing lists, indexes, and checklists.
- Internal USGS information products, newsletters, and announcements.
- Electronic files, artwork, camera-ready originals, and related negatives (such as line and half-tone negatives, and color separates).
- Printing project files pertaining to the planning and execution of printing, binding, duplicating, financing, and distributing jobs.
- Miscellaneous information products management and administration records, general in nature.
- Input, output, and system backup files from the Bureau's electronic publications database system
- Bureau's electronic publication development and tracking database system (IPDS) and the electronic publications database system (Publications Warehouse) working papers and background materials.

Questions?

Contact the USGS Records Manager or your discipline or regional Records Liaison Officer - <http://internal.usgs.gov/gio/irm/fmassis2.html>

CHAPTER 1300. PUBLISHING RECORDS

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>1301. USGS Information Products. Official USGS information products covered by this Chapter are those published in USGS publication series, the limited-use series—Open-File Reports and the USGS Periodical—Annual Report of the USGS, as described in Survey Manual (SM) Chapter 1100.3 - USGS Publication Series at http://www.usgs.gov/usgs-manual/1100/1100-3.html, along with finding aids and indexes used to access collections of these information products.</p> <p>NOTE: Electronic information products are the equivalent of printed publications or information products.</p> <p>As a best practice, the Bureau encourages the use of a persistent URL, digital object identifier, or equivalent, to ensure consistency and ease of accessibility in retrieving USGS Web information.</p> <p>Official USGS information products published on the Web must be available (using a persistent URL, digital object identifier, or equivalent), from the Bureau’s electronic publications database system (the Publications Warehouse—see http://pubs.usgs.gov/)</p> <p>May include chronological list and electronic index to the records and may be maintained in different media and formats. Therefore, this series is written to authorize the disposition of records in any media. Records created and maintained electronically, will be transferred to NARA in an approved electronic format (see http://www.archives.gov/records-</p>		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>mgmt/initiatives/transfer-regulation.html) for current NARA transfer standards.</p>		
<p>1301-01. USGS Publication Series. One copy of each printed or electronic USGS information product (includes Limited-Use Publication Series: Open-File Reports (OFR) and the USGS Periodical: Annual Report of the USGS (which may be issued under various titles such as Performance and Accountability Report and Annual Financial Report.)</p> <p>NOTE: For descriptions of publication series products, see SM Chapter 1100.3. In addition, refer to the various Bureau discipline-specific record schedules for any additional records disposition requirements for map and special map products. For online products send the persistent URL or equivalent.</p>	<p>PERMANENT. Cutoff at the end of the fiscal year. Transfer textual records of the official copy to the NARA in 5-year blocks when a 5-year block is available. Transfer electronic data, with related documentation and external finding aids, as applicable to NARA, as specified in 36 CFR 1228.270 or standards applicable at the time, every 5 years.</p>	<p>N1-57-03-1, Item 1301-01</p>
<p>1301-02. All Other Copies. Duplicate copies of USGS information products maintained solely for convenience of reference.</p>	<p>Destroy when no longer needed.</p>	<p>N1-57-03-1, Item 1301-02</p>
<p>1301-03. Review and Approval Records and Copyright Permission Records. Review and approval records for published USGS information products (described in 1301-01 above) and for information products and articles published by outside sources (see SM 1100.4 at http://www.usgs.gov/usgs-manual/1100/1100-4.html). Contains, but not limited to, information such as author, title, purpose, publishing media, and signatures for peer (colleague) review, editorial review, delegated Bureau approval, and other appropriate USGS and outside source review and approval concurrences. Also, includes the written consent or permission of the copyright owner for using copyrighted materials in USGS information products and articles.</p>	<p>Cutoff at the end of the fiscal year. Retain in appropriate region, discipline, or office until product is published. Destroy in agency 3 years after publishing or when no longer needed for reference, whichever is later.</p>	<p>N1-57-03-1, Item 1301-03</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>1301-04. Working Papers, Manuscripts, and Background Materials. Records for USGS information products (described in 1301-01 above) and records for information products and articles published by outside sources (see SM 1100.4 at http://www.usgs.gov/usgs-manual/1100/1100-4.html). Contains, but not limited to, any required justifications and author's manuscript drafts that include reviewers' comments, including author's report of how comments were reconciled, and other background materials or history records.</p>	<p>Retain in appropriate region, discipline, or office until document is published. Destroy in agency 6 months after publishing, or when no longer needed for reference, whichever is later.</p>	<p>N1-57-03-1, Item 1301-04</p>
<p>1302. Information Products Research and Management Files.</p>		
<p>1302-01. Research Records Supporting Information Products. Files contain only research records that are not already covered in any of the USGS mission-specific schedules including original data, research material, and other publishing-essential background documents that support the validity of the scientific data or information in the information product.</p>	<p>Destroy in agency when no longer needed for reference.</p>	<p>N1-57-03-1, Item 1302-01</p>
<p>1302-02. Information Product Management Policies, Procedures, Directives, Instructions, and Reports. Documents and miscellaneous reports pertinent to future and continuing actions for USGS information products management activities.</p> <p>NOTE: This file consists of policies, procedures, directives, and procedures for information products management that may not be included in the bureau master set of directives.</p>	<p>Cutoff at the end of the fiscal year. Place in inactive file when canceled, superseded, or revoked. Destroy when no longer needed for reference purposes.</p>	<p>N1-57-03-1, Item 1303-01</p>
<p>1302-03. Information Product Customer Mailing Lists. Correspondence and other records</p>	<p>Destroy after appropriate revision of mailing list or after 3 months, whichever is</p>	<p>RCS/Item 303-09a and GRS 13, Item 4a</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
relating to customer mailing lists.	later.	
1302-04. Information Product Indexes. Bibliographies and indexes of USGS information products.	Destroy when superseded or obsolete.	N1-57-03-1, Item 1303-05 and GRS 14, Item 6
1303. Miscellaneous Publishing Records.		
1303-01. Internal USGS Information Products, Newsletters, and Announcements. Information products, newsletters, or announcements circulated or distributed internally to USGS staff for informational purposes. These are not considered to be official USGS publications, nor have they been submitted for formal editorial review or received other formal review and approval prior to publishing.	Destroy in agency when no longer needed for reference.	N1-57-03-1, Item 1304-01
1303-02. Electronic Files, Artwork, Camera-Ready Originals, and Related Negatives (such as Line and Half-tone Negatives and Color Separates). Materials used to publish (print or electronic) the final product. NOTE: Printing instructions should be maintained with the artwork to which it relates and retained for the same amount of time.	Maintain on back-up system for 10 years then destroy in agency when no longer needed for reference.	N1-57-03-1, Item 1305-01
1303-03. Printing Project Files. Print jobs or project records containing all papers and data pertaining to the planning and execution of printing, binding, duplicating, financing, and distributing.	Cut off at the end of the fiscal year. Destroy in agency when no longer needed for reference	RCS/Item 303-07a and GRS 13, Item 2a
1303-04. Miscellaneous Information Products Management Files. Documents relating to information product management and administration that, due to their general nature, cannot logically be filed elsewhere in this chapter.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.	N1-57-03-01, Item 1303-06
1304. Information Product Data System (IPDS). Bureauwide system for		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
managing the development of USGS information products. Tracks and monitors the development of all products requiring Bureau approval, including non-USGS publications such as abstracts and journal articles.		
1304-01. Inputs. Consists of information product development metadata, workflow status information and documents that support the development of USGS information products. Also includes information product components that are in development, such as draft information product manuscripts and illustration files. Data is stored on a per product basis.	Delete or destroy after input and verification of data and files into the master file or when no longer needed to support the reconstruction of the master file, whichever is later.	GRS 20, Items 2a(4) and 2b
1304-02. Master File. Contains information product development metadata for USGS and outside publications for the Bureau, including abstracts and journal articles.		
1304-02a. Information Product Development Metadata. Metadata used for trend reporting for USGS and outside publications for the Bureau, including abstracts and journal articles.	Cutoff at the end of the fiscal year. Destroy 10 years after cutoff.	New Item
1304-02b. Review and Approval Records. Includes draft manuscripts and illustrations, peer review comments and peer review resolution documents, as well as USGS approval documents and comments.	Delete individual record 3 years after publication of the information product.	New Item
1304-03. Outputs. Includes information product bibliographic metadata (Supplied to the USGS Publications Warehouse) and user-specified status and metadata summary reports. Also includes draft manuscripts and illustrations, peer review comments and peer review resolution documents, as well as USGS approval documents and comments in the following formats: Portable Document Format (PDF), Microsoft Office Word (DOC), Microsoft Excel (XSL),	Maintain until superseded or obsolete and then destroy.	New Item

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
Encapsulated Postscript (EPS), Adobe Illustrator (AI), Adobe InDesign (INDD), Tagged Image File Format (TIF), Bitmap Image (BMP), Joint Photographic Engineering Group (JPEG), Hypertext Markup Language (HTML), Extensible Markup Language (XML), and Text (TXT).		
<p>1304-04. System Documentation. Technical documentation adequate to identify, service, and interpret electronic records, such as data modeling, documentation, data system specifications, data element descriptions, data dictionaries, code books, record layouts, user guides, output specifications, standards, and similar documentation necessary for servicing and interpreting the system-generated records.</p>	Cutoff when system is replaced. Destroy 6 years after cutoff.	New Item
<p>1304-05. Backup Tapes. Includes daily metadata and weekly document backups. Tapes are stored off site.</p>	Maintain until superseded or obsolete and then destroy.	GRS 20, Item 8b
<p>1305. Electronic Publications Database System (currently called the Publications Warehouse). The Bureau's official publications catalog and database system that contains bibliographic citations of published USGS information products, including USGS publication series, thematic maps, and some outside publications (see http://pubs.usgs.gov/).</p> <p>The database system also contains scanned image files of USGS information products previously published in hard copy only. The majority of the electronic image files are of historical USGS publication series.</p>		
<p>1305-01. Inputs. Consists of bibliographic citations, originally compiled from the official USGS library</p>	Delete or destroy after input and verification of bibliographic data and	GRS 20, Items 2a(4) and 2b

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>database and over 100 other USGS sources. New records for outside publications previously authored by USGS (legacy products) are gradually added from program or thematic sources. New records are immediately created when an information product is published. Also, contains electronic image files of USGS publication series information products previously published in hard copy only.</p>	<p>scanned image files into master file or when no longer needed to support the reconstruction of the master file, whichever is later.</p>	
<p>1305-02. Master File. Contains bibliographic data (including persistent URLs or equivalent) about published USGS information products, including USGS series publications, limited-use series (Open File Reports) thematic maps, and some outside publications as well as electronic image files of previously published USGS publication series information products. This collection is the most comprehensive bibliographic citation source for USGS series publications.</p>	<p>PERMANENT. Transfer existing data to NARA on approval of schedule. Cutoff additional increments every 5 years and transfer to NARA in accordance with 36 CFR 1228.270 or standards applicable at that time.</p>	<p>New Item</p>
<p>1305-03. Outputs. Consists of citation information output based on pre-defined or user-specified queries. Interfaces with other systems to provide availability, pricing, and purchase options for hardcopy USGS information products. Also, for the scanned image files provides a modified scanned image format output to be viewed or printed.</p>	<p>Maintain until superseded or obsolete and then destroy.</p>	<p>New Item</p>
<p>1305-04. System Documentation.</p>		
<p>1305-04a. Technical Documentation. Technical documentation adequate to identify, service, and interpret electronic records, such as data modeling, documentation, data system specifications, data element descriptions, data dictionaries, code books, record layouts, user guides, output specifications, standards, and similar documentation necessary for servicing</p>	<p>PERMANENT. Transfer those records necessary to document how the system captures, manipulates, and outputs data to NARA as specified in 36 CFR 1228.270. This document would be transferred with the electronic data flat file.</p>	<p>GRS 20, Item 11b</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
and interpreting the system-generated records.		
1305-04b. Other System Documentation. All other system documentation that is not critical for servicing and interpreting the system-generated records.	Maintain until superseded or obsolete and then destroy.	New Item
1305-05. System Backup. System backups are completed weekly and are stored off-site.	Destroy or re-use when superseded.	GRS 20, Item 8b
1305-06. Working Papers and Background Materials. Intermediate records for verifying citations may contain history and reconciliation comments. Materials pertaining to database redesign or data migration while in progress.	Maintain until no longer needed for reference and then destroy.	New Item

**U.S. Geological Survey
Chapter 1300. Publishing Records**

Cross Index

ITEM NUMBER	SUBJECT	SUPERSEDED CITATION
1301	USGS Information Products	
1301-01	USGS Publication Series	N1-57-03-01, Item 1301-01
1301-02	All Other Copies	N1-57-03-01, Item 1301-02
1301-03	Review and Approval Records and Copyright Permission Records	N1-57-03-01, Item 1301-03
1301-04	Working Papers, Manuscripts, and Background Materials	N1-57-03-01, Item 1301-04
1302	Information Products Research and Management Files	
1302-01	Research Records Supporting Information Products	N1-57-03-01, Item 1302-01
1302-02	Information Product Management Policies, Procedures, Directives, Instructions, and Reports	N1-57-03-01, Item 1303-01 (Combined 1303-01, 02, and 03)
1302-03	Information Product Customer Mailing Lists	RCS/Item 303-09a and GRS 13, Item 4a
1302-04	Information Product Indexes	N1-57-03-01, Item 1303-05 and GRS 14, Item 6
1303	Miscellaneous Publishing Records	
1303-01	Internal USGS Information Products, Newsletters, and Announcements	N1-57-03-01, Item 1304-01
1303-02	Electronic Files, Artwork, Camera- Ready Originals, and Related Negatives (such as Line and Half-tone Negatives and Color Separates)	N1-57-03-01, Item 1305-01
1303-03	Printing Project Files	RCS/Item 303-07a and GRS 13, Item 2a (Changed description and disposition)

1303-04	Miscellaneous Information Products Management Files	N1-57-03-01, Item 1303-06
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1304 Information Product Data System (IPDS)

1304-01	Inputs	GRS 20, Items 2a(4) and 2b
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1304-02	Master File	
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1304-02a	Information Product Development Metadata	New Item
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1304-02b	Review and Approval Records	New Item
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1304-03	Outputs	New Item
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1304-04	System Documentation	New Item
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1304-05	System Backups	GRS 20, Item 8b
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1305 Electronic Publications Database System (currently called the Publications Warehouse)

1305-01	Inputs	GRS 20, Items 2a(4) and 2b
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1305-02	Master File	New Item
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1305-03	Outputs	New Item
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1305-04	System Documentation	
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1305-04a	Technical Documentation	GRS 20, Item 11b
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1305-04b	Other System Documentation	New Item
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1305-05	System Backup	GRS 20, Item 8b
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1305-06	Working Papers and Background Materials	New Item
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Deleted Items

- 1307 – Electronic Mail and Word Processing System Copies – Entire section including 1307-01, 1307-01a, and 1307-01b